





United Nations Development Programme

Project title: 7 th Operational Phase of the GEF Small Grants Programme		
Country(ies): Global	Implementing Partner (GEF Executing Entity): UNOPS	Execution Modality: <i>Agency Execution</i>
UNDP Strategic Plan Outputs: 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste 2.1.1: Low emission and climate resilient objectives addressed in national, sub-national and sectoral development plans and policies to promote economic diversification and green growth 1.5.1: Solutions adopted to achieve universal access to clean, affordable and sustainable energy 2.5.1: Solutions developed, financed and applied at scale for energy efficiency and transformation to clean energy and zero-carbon development, for poverty eradication and structural transformation 3.4.1: Innovative nature-based and gender-responsive solutions developed, financed and applied for sustainable recovery		
UNDP Social and Environmental Screening Category: Moderate		UNDP Gender Marker: 2
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Planned start date: July 2020		Planned end date: June 2027
Expected date of posting of Mid-Term Review to ERC: NA		Expected date of posting Terminal evaluation report to ERC: NA
Brief project description: The direct involvement of local communities who depend on natural resources for their livelihoods and therefore have the strongest incentive to develop appropriate solutions is most pertinent in local and global efforts to address serious environmental challenges that we face today. The SDGs and the Paris Agreement on Climate Change also recognized the importance of participation of communities and Civil Society Organizations (CSOs) if we are to achieve the SDGs and halt the threat of serious climate change. In this regard, the UNDP implemented, GEF financed, Small Grants Programme (SGP) is a proven programme that was set up to support community-based initiatives led by the civil society and community-based organizations addressing the environment and development issues of global relevance. Over the last 27 years, SGP has implemented over 24,000 projects in total 133 countries, providing grants totaling USD 611.6 million. In the new phase, SGP will adopt and strengthen primarily five interrelated approaches including empowering local communities, supporting community innovation on emerging issues, promoting partnerships and broader adoption, serving as a dependable global community-based grant mechanism and platform for the environment etc. In doing so, SGP aims “to promote and support community-based innovative, inclusive, and impactful initiatives, and foster multi-stakeholder partnerships to tackle global environmental issues” in programme countries. SGP will employ several strategic initiatives namely: community-based conservation of threatened ecosystems and species; sustainable agriculture and fisheries, and food security; low-carbon energy access co-benefits; local to global coalitions for chemicals and waste management; catalyzing sustainable urban solutions; CSO-		

Government-Private Sector Policy and Planning Dialogue Platforms; Enhancing social inclusion; and Monitoring and Evaluation and Knowledge Management.		
FINANCING PLAN		
GEF Trust Fund		
Core first tranche (funded)		USD 61,538,462
Core second tranche (unfunded)		USD 61,538,462
STAR (unfunded)		USD 38,461,538
(1) Total Budget administered by UNDP		USD 161,538,462
CONFIRMED CO-FINANCING		
Cash co-financing		USD 10,500,000
In-kind co-financing		USD 157,500,000
(2) Total confirmed co-financing		USD 168,000,000
Grand-Total Project Financing (1) + (2)		USD 329,538,462
SIGNATURES		
Signature:  Dionyssia Geka Director, New York Service Cluster UNOPS	Agreed by Implementing Partner	Date/Month/Year: 10 July 2020
Signature:  Pradeep Kurukulasuriya Executive Coordinator & Director- Global Environmental Finance & Head, Natural Capital and the Environment	Agreed by UNDP	Date/Month/Year: 10 July 2020
Key GEF Project Cycle Milestones: Project document signature: within 25 days of GEF CEO endorsement First disbursement date: within 40 days of GEF CEO endorsement Inception workshop date: within 60 days of GEF CEO endorsement Operational closure: within 3 months of posting of TE to UNDP ERC Financial closure: within 6 months of operational closure		

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I. DEVELOPMENT CHALLENGE

(i) *Global environmental problems and root causes*

1. The most serious environmental problems of the twenty-first century have the potential to alter the course of life on this planet. Global warming, biodiversity decline, depletion of natural resources, problems with toxic waste, water and air pollution, acid rain, and shrinking energy supplies are serious challenges that may threaten our future if we do not face up to them. Take for example biodiversity decline. Biodiversity has continued to decline globally. The global rate of species extinction is escalating and is now estimated to be up to 1000 times the natural rate. Evidence is growing that critical ecosystem services are under great pressure globally. According to one estimate, approximately one quarter of the potential net primary production has been converted by humans, either through direct cropping, land-use-induced productivity changes, or human-induced fires. Such is the indication of the substantial impact of humans on natural ecosystems. National and international attention has focused on the political imperative to convert international target into hard economic decisions, concerted implementation, and concrete national actions, and despite some encouraging achievements these came up short of halting the biodiversity decline. This is partly because where conservation targets have been established, lack of appreciation of the effective contribution of customary sustainable management of natural resources have often-times resulted in top-down approaches that often exclude local actors. In many countries, policies and programmes still do not adequately support or promote indigenous peoples and local communities (IPLCs) traditional knowledge on natural resource management and the conservation of biodiversity. In the worst cases, conservation effort may even negatively affect IPLCs through exclusionary approaches, leading to human rights violations, with detrimental results to biodiversity and the long-term viability and health of ecosystems.

2. Moreover, new evidence provided in a recent report from the Rights and Resources Initiative, Woods Hole Research Center, World Resources Institute (WRI) and Environmental Defense Fund shows that Indigenous Peoples and local communities worldwide manage massive amounts of carbon in the trees and soil of their forests—at least 293,061 million metric tons. That's 17 percent of the total carbon stored in the world's forestlands, which if released at once, would equal 33 times the total global energy emissions of 2017. Increased policy action such as the adoption of the Strategic Plan for Biodiversity 2011-2020 and Aichi Targets mean a stronger recognition of the role of IPLCs in voluntarily conserving biodiversity. CBD Aichi Target 11 now includes a reference to “other effective area-based conservation measures” (OECMs) including Indigenous Peoples and Community Conservation Territories and Areas (ICCAs) and private protected areas, as central to expanding the global coverage of protected areas (PAs) from 12% to 17%. Scientific consensus is also emerging that government-managed protected areas will not avert the biodiversity crisis.

3. The situation is similar with regards to food production and land degradation. While there may be sufficient potential for food production in the world, there will still be problems of food security at the household or national level. In urban areas, food insecurity usually reflects low incomes, but in poor rural areas it is often inseparable from problems affecting food production. The focus of sustainable land and forest management should be geared towards enhancing innovative agroecological practices and upholding agroecology principles. These principles will be realized through appropriate climate-sensitive agriculture and improved agroecosystem service provision to achieve short-and-long-term agricultural development priorities at local level. These approaches will help to enhance community and ecosystem resilience and to integrate other land-based development priorities in the production landscapes.

4. Similarly, increased risks of exposure to toxic and hazardous chemicals and wastes predominantly affect the poor, who routinely face such risks because of their occupation, poor living standards and lack of

knowledge about the detrimental impacts of exposure to these chemicals and wastes. According to the World Health Organization (WHO), acute pesticide poisoning affects three million people and account for 20,000 unintentional deaths each year. In many communities and nations, those living in poverty, women and children continue to be disproportionately exposed to pesticides, making this an issue of fairness and environmental justice. Between 2005 and 2020, the accumulated cost of illness and injury linked to pesticides in small scale farming in sub-Saharan Africa alone could reach USD \$90 billion. According to some assessments, the total anthropogenic emissions of mercury to the atmosphere in 2010 are estimated at 1960 tonnes. Artisanal and small-scale gold mining (ASGM) and coal burning are the largest sources of anthropogenic mercury emissions to air, followed by the production of ferrous and non-ferrous metals, and cement production. Annual emissions from ASGM are estimated at 727 tonnes, making this the largest sector accounting for more than 35% of total anthropogenic emissions. E-waste is the fastest growing waste stream. In the United States, an estimated 70% of heavy metals in landfills come from discarded electronics. This negative trend is spreading to the rest of the world, including developing countries. Another study by UNEP¹ estimated that the amount of e-waste being produced - including mobile phones and computers - could rise by as much as 500 percent over the next decade in some countries, such as India.

5. Climate change remains a defining issue of our time, despite recent significant progress in development of new low carbon technology and growing momentum for climate action. The concentration of greenhouse gases in the atmosphere continues to rise and the impacts are increasingly felt around the globe with climate-related disasters responsible for thousands of deaths and \$320 billion dollars in losses during the last year. The poor and vulnerable populations are disproportionately affected with economic and security risks amplifying and runaway change beyond the adaptive ability of human societies and natural ecosystems is a real possibility. The historic Paris Agreement has put in place a framework defining countries' climate action for the next few decades, setting up a mechanism for countries to put forward and implement Nationally Determined Contributions (NDCs) outlining their commitments. The next 2-3 years are crucial for successful implementation of the agreement, as the NDCs are required to be updated every 5 years and the challenge now is to raise the ambition and accelerate the transition to low -carbon resilient economy. The time to stop catastrophic climate change is running out and many investment decisions taken today will shape the future for decades.

6. In this regard, the energy sector, producing two thirds of global emissions, presents a large scope for cost effective emissions reductions. Besides, energy access is a crucial area for investment, as expanded access to electricity and clean cooking improves productivity, reduces poverty and improves health with the largest benefits for women. According to the New Climate Economy report from the Global Commission on the Economy and Climate, 1 billion people do not have access to electricity, and over 2.9 billion people do not have access to clean cooking. By 2030, planned policies are expected to deliver clean energy to millions, but population growth is expected to outpace progress, leaving 674 million people lacking electricity access and more than 2 billion people without clean cooking. The report calls for increased government support for and investment in decentralized electricity and clean cooking as a crucial step to accelerate climate action and transition to new low-carbon economy. Investing in local solutions and mobilization of civil society is also key for raising the ambition of NDCs, galvanizing support and ensuring their implementation.

7. Global environmental problems are inter-connected and require an integrated approach: It is now increasingly recognized that a powerful and complex web of interactions is contributing to unprecedented global trends in environmental degradation. These forces include rapid globalization and urbanization, pervasive poverty, unsustainable consumption patterns and population growth. Often serving to compound the effects and intensity of the environmental problems, global environmental challenges require concerted

¹ UNEP (2009). Recycling – from e-waste to resources

responses on the part of the international community. In an influential paper, Nakicenovic, N et. al². discussed how “in a globalized world, effects of individual actions and decisions are leading to emergent behavior at the Earth system scale, the “Anthropocene effect” behavior that cannot be predicted from analysis of individual parts”. Given the scale of industrial impacts, the authors suggest that if previously effective common resource management approaches and regimes could be re-applied to govern and steward the “global commons” significant benefits and advances could be felt. Due to the unprecedented impacts we are having on our planet’s life support system, they note that human beings must be part of the solution arguing “that humanity must be the steward of the planet’s natural resources – the ecosystems, biomes and processes that regulate the stability and resilience of the Earth system, or what is termed as the global commons”.

8. Moreover, it is becoming increasingly evident that the major environmental problems — biodiversity, land degradation, climate change, energy, issues with food security -- cannot be understood or addressed in isolation. They are systemic problems, which means that they are all interconnected and interdependent. Many environmental thinkers describe this interconnected and interdependent nature of the global environmental challenges. For instance, Lester Brown³, of the World Policy Institute, posits that the vicious circle of demographic pressure and poverty leads to the depletion of resources — falling water tables, shrinking forests, collapsing fisheries, eroding soils, and so on — and how this resource depletion, exacerbated by climate change, produces failing states whose governments can no longer provide security for their citizens, some of whom may even turn to terrorism in sheer desperation. To address global environmental challenges, requires a radical shift in our perceptions, our thinking, our values” – to one that considers a systemic, interconnected, and integrated approach. An interdependent approach is also critical from a policy perspective. Well-written policies made in one country cannot achieve success in combating threats to the global commons without concerted actions in tandem with other governments, civil society actors and the private sector.

9. Further, as described in a recent document of the Scientific and Technical Advisory Panel (STAP)⁴ of the GEF, “a lack of integration is a major detriment to achieving sustainability”. For example, a review of progress in achieving global environmental goals, including those Multilateral Environmental Agreements (MEAs) supported by the GEF, underscored fragmentation as a major cause of slow progress. The review emphasized the need for integration between (i) types of problems and identified solutions; (ii) the responsibilities and resources available to implementing institutions; and (iii) in governance structures. Among others, the STAP document recommended that the GEF project design process to “engage stakeholders, including local communities, civil society networks, industry associations or other key private sector actors as appropriate (not just government officials) from project inception and from design through completion”. This is where the GEF Small Grants Programme (SGP) play an important role by piloting such integrated approaches including building on its over two decades of experience in participatory design and implementation and lesson-sharing particularly through the empowerment of civil society and community-based organizations.

10. This need for an integrated and inclusive approach is also reflected in the UN 2030 Sustainable Development Goals (SDGs). The SDGs marked a turning point in the target-setting of the United Nations for human development. The 17 SDGs provide a time-bound and comprehensive narrative for achieving the desired future and normative human development goals – a world free from hunger, injustice and absolute poverty, a world with universal education, health and employment with inclusive economic growth, based on transparency, dignity and equity, including an explicit call for the protection of the Earth system. The SDGs acknowledge that the challenges faced across the 17 goals are interrelated and interconnected and should be

² Nakicenovic, N., Rockstrom, J. Gaffney, O. and Zimm, C. (2016). Global Commons in the Anthropocene: World Development on a Stable and Resilient Planet. IIASA Working Paper.

³ Brown, R.B. (2009). Plan B 4.0: Mobilizing to Save Civilization. Earth Policy Institute. Washington, DC.

⁴ Bierbaum, R. et al. 2018. Integration: to solve complex environmental problems. Scientific and Technical Advisory Panel to the Global Environment Facility. Washington, DC.

achieved in such a way as to maximize synergies and minimize tradeoffs. Achieving one SDG will often contribute to achieving others. For example, achieving SDG 7, the energy goal, can support goals related to water, health and climate. Moreover, the SDGs call for inclusive development, including vulnerable and marginalized communities such as women, indigenous peoples, youth, and persons with disabilities, under the approach on “leaving no one behind.” The SDGs also call for the need for partnership involving all sectors including government, civil society, and private sector to achieve the goals.

II. STRATEGY

(i) *The long-term solution – role of SGP to address global environmental issues*

11. The Small Grants Programme (SGP) is a proven GEF corporate programme that was set up to support community-based initiatives led by the civil society and community-based organizations (CSOs and CBOs) in dealing with the environment and development issues of global relevance. Many evaluations of the programme including the [2015 Joint Evaluation by the GEF and UNDP's IEOs](#) indicates that the “SGP grants continue to support projects that have high levels of success in securing global environmental benefits in both mature and newer program countries”. Thus, SGP is successfully positioned, as described in the GEF-7 Programming Directions, to enable “communities as solution providers and key partners to address the drivers of global environmental degradation and engine for systemic change”. In GEF-7, based on the IEO Evaluation, lesson learned and inputs from stakeholder consultations, including with government, Convention focal points, and the private sector, SGP will place greater focus on promoting strategic and results-based investments at the local level in alignment with the GEF’s proposed focal area investments and Impact Programs. SGP financed projects will have greater focus in promoting and supporting innovative and strategic initiatives at the local level to address global environment issues in priority landscapes and seascapes. It will also support projects that would serve as “incubators” of innovation, with the potential for broader replication of successful approaches through larger projects supported by the GEF and/or other partners. The SGP grantees and partners will also act as an effective and important social constituency to mobilize bottom up, civil society movements for systemic change, and in promoting environmentally sound sustainable development at the national, regional, and global levels.

(ii) *Barriers*

12. Several barriers however impede the above long-term solution proposed for the SGP.

Barrier 1: Limited diffusion of effective models of scalable community-based management and governance for the conservation of biodiversity constrain realization of the full potential of the role of local communities including indigenous peoples in the conservation and sustainable use of threatened ecosystems and species.

13. In many rural areas of the world, local communities possess vast knowledge of the local species and ecosystems and have been effective conservation stewards of biodiversity. However, their role has been often undermined in national policies and actions related to biodiversity conservation and sustainable use. Lack of knowledge and incentive at the community level on “biodiversity friendly” methods of production in agriculture, forestry and fisheries is another important barrier. This is often exacerbated by the limited experience that government agencies and related stakeholders (often also local communities) have in incorporating biodiversity conservation and sustainable use objectives into land and resource use practices. Moreover, local level strategies for community based natural resource management often stop at measures that promote participation in specific activities such as providing labour for agriculture and plantations, and do not meaningfully involve communities as partners in the effective governance of ecosystems and species with clarified roles and responsibilities. There is a need to recognize that many communities and indigenous peoples

as solution providers that have been managing and conserving key biodiversity areas. This is especially important given the essential role of other effective conservation measures in achieving the bold conservation targets that the world has agreed on.

Barrier 2: Community level capacities for adopting sustainable agriculture, fisheries and food security strategies and practices are limited.

14. While the focus on land degradation focal area is geared towards enhancing climate smart innovative agroecology practices and upholding agroecology principles as well as adopting sustainable land management practices, at the local level, this is often constrained by limited capacities and incentives to adopt them. Local communities lack exposure to appropriate sustainable land management technologies and have limited knowledge and access to climate smart innovative agriculture practices. In order that strategies and approaches will ensure enhancement of community and ecosystem resilience, design and implementation of climate smart agriculture, fisheries and food strategies should be accompanied by appropriate capacity building measures including farmer training, extension messaging (i.e. through master farmers for horizontal knowledge exchange) and targeted support to farmers to adopt practices which green the production and supply chains of key local commodities. In many parts of the world, small-scale artisanal farmers, pastoralists and fisher-folk continue to lack adequate market knowledge and have limited exposure to key marketing strategies such as certification, and ecolabeling.

Barrier 3: Community-level limitations restrict adoption of low carbon technologies and improved land-use and forestry practices that reduce GHG emissions.

15. Significant emissions savings from adoption of low carbon technologies at the community level are currently not implemented due to several community level constraints. First, many communities are not aware of low carbon technologies and land-use practices and associated health, economic, nutritional and environmental co-benefits. Second, even when the technologies are available at the market, specific solutions for use in local contexts are not yet available. As these technologies are new, innovative adaptations are needed to tailor them to productive needs even in advanced countries, much more so in developing countries. Another important barrier is severely limited know-how of various low carbon technology options and even when such technologies are distributed, their use is limited as communities lack the knowledge and ability to operate and maintain them. Local stakeholders generally are also not able to afford the upfront costs related to purchase of even low-cost technologies particularly due to lack of public-private partnership model that could facilitate and overcome such issues. Also adopting climate friendly land use and forestry practices requires learning and initial investment of time and resources. Further investment is needed in developing local expertise as well as in supporting entrepreneurs involved in the energy service business to ensure affordability and sustainability.

Barrier 4: Inadequate experience with dealing with sound management of chemicals and waste: Many communities are at the forefront of threats related to chemicals and waste as users of consumers.

16. However, they lack the necessary knowledge of the harmful effects of such chemicals and, even when aware, using or consuming such harmful chemicals remains their only option either due to availability and cost, or because their livelihoods depend on such industries. Further, many countries, particularly SIDS and LDCs still lack necessary legislation and management system to reduce and control the use of harmful chemicals and wastes. There is a need to provide target support at the community level for safe disposal of chemicals and waste including those of global concern including mercury and plastic wastes. There is also a need to engage with local academic institutions and other relevant actors to develop and promote practical, viable and

acceptable waste and chemicals management strategies, while awareness raising on harmful chemicals and waste should be implemented in tandem. Targeted support for specific chemicals and sectors such as artisanal and small-scale gold mining to reduce the use of mercury is necessary.

Barrier 5: Limited or absence of inclusive community-oriented urban solutions: Urbanization is a defining trend all over the world and especially in developing regions of Asia, Africa and Latin America.

17. Some estimates point that by 2030, over sixty percent of the global population will be urban residents. It is widely accepted that cities can be hotspots of extreme deprivation and environmental degradation especially where the bulk of poor will be located with potentially serious impacts from environmental hazards. This calls for innovative partnerships for sustainable urban solutions such as provision of affordable renewable energy, water supply and waste management services that will benefit the urban poor while delivering on the global environmental outcomes. However urban poor and vulnerable communities currently do not have the capacities themselves to adopt such solutions while municipalities and city governments may not be in the position to fully integrate different needs of the population particularly women and girls, youth and persons with disabilities in their plans due to financial and other constraints. There is a need for public-private partnership promoted by civil society and local communities to provide an integrated package of sustainable urban solutions for energy, waste management and other environmental services. Support is also needed to open space for CSOs for engagement and participation in local decision-making and inform better urban governance and accountability related to urban environmental issues.

Barrier 6: There is limited availability of community-oriented tools, mechanisms and platforms that are inclusive and facilitate local communities to meaningfully participate and provide inputs to national/global environmental and development policy making.

18. While the capacity of CSOs and CBOs on policy advocacy has improved over the years, there is still a great need to demonstrate inclusive community-oriented networking and support systems, that can not only connect community groups with each other but can also link up communities with the government and private sector for policy and programme dialogues related to environment and sustainable development both at the national and global levels. Barriers remains particularly for vulnerable population, including women and girls, indigenous peoples, youth and persons with disabilities to effectively participate, voice their concerns, and influence policy decisions that affect their lives. development. Enabling environment needs to be created to expand community-based action at scale through positive national policy dialogue and development planning that brings in the different needs, knowledge, and opportunity of community and CSO stakeholders at large.

(iii) The baseline scenario and any associated baseline projects

19. Civil society organizations and local communities continue to play an under-utilized and under-valued role in addressing global environmental and sustainable development issues in most parts of the world. CSOs and CBOs can play a variety of critical roles and can be extremely effective agents for the necessary transformative change in society and flip the current trajectory on global environmental crisis by: (i) catalyzing innovation, testing new approaches, and responding to emerging challenges and opportunities bringing global experience and good practice to local contexts; (ii) transferring innovative and traditional knowledge and skills and knowledge to government agencies and the private sector, leading to better policy and business practices; (iii) catalyzing innovation, testing new approaches and responding to emerging challenges and opportunities; (iv) brokering partnerships among traditional and non-traditional actors; and (iv) ensuring that projects and programs are beneficial to local population, such as by protecting vital ecosystem services and providing sustainable livelihood options.

20. During the past 25 years, participating countries to the SGP has steadily increased from the initial 35 countries to the current 125 countries. SGP serves 40 Least Developing Countries (LDCs) and 37 Small Island Development States (SIDS), including several which are in post-conflict or crisis situations. SGP funds small grants up to maximum of \$50,000, with an average grant amount of approximately \$25,000. A strategic project window has also been added for grantmaking up to a maximum of \$150,000 to allow for scaling up and to support initiatives that cover many communities, either within in a critical landscape or seascape, or towards a thematic priority. Small grants are targeted primarily towards local communities and civil society organizations, specially the poor and vulnerable, to access appropriate level of funding as they develop their capacity, take measured risks in testing new methods and technologies, and to innovate at the local level. Each SGP country programme has a multi-sectoral National Steering Committee (NSC) which assures a country-driven approach to SGP implementation and allows civil society leadership and capacity development in the management of a country programme.

21. The 2015 Joint Evaluation by the GEF and UNDP's IEOs concluded that SGP continues to play a key role in promoting the GEF's objectives. It specifically noted that SGP continues to support projects that are relevant, effective and efficient in achieving global environmental benefits, while addressing issues of livelihoods, poverty, gender equality and women's empowerment. The evaluation also reported evidence of strong replication, scaling-up, sustainability, and mainstreaming of the Programme activities. The [Sixth Comprehensive Evaluation of the GEF](#) (OPS6) noted long-term support through SGP has enabled small-scale interventions to be broadly adopted. It recognizes SGP's role in providing GEF presence and visibility at the community level, and further concludes that SGP delivers grants that address local environmental concerns of global relevance at the national or subnational level, and links communities to long-term environmental management through income-generating activities. The evaluation mentions that one of the main characteristics differentiating the SGP from other GEF programs is its ability to function as a demand-based type of community support, thereby engendering community/country ownership. SGP has also been cited as an effective channel to share information and raising awareness among stakeholders at the local level in several countries. Several evaluations of the GEF (for example Engagement with Indigenous Peoples (IPs)⁵; Gender mainstreaming⁶) specify SGP's value addition on social inclusion, noting that SGP is the primary modality for the GEF's engagement with indigenous peoples and gender within the GEF partnership.

22. SGP plays an important role in meeting the objectives of the Multilateral Environmental Agreements (MEAs), for which the GEF serves as financial mechanism. For example, the MEAs emphasize the need for social inclusion and broader participation, including involvement of civil society organization, indigenous peoples, and local communities. SGP has been effectively implementing socially inclusive, integrated approaches that promote multi-sectoral solutions to environmental challenges across the MEAs. The Conference of the Parties of the Convention on Biological Diversity (CBD) has provided specific guidance to the SGP to further strengthen and expand its support to local communities in the developing countries, including Least Developing Countries (LDCs) and Small Island Development States (SIDS). In each participating country, SGP is facilitating close linkages and synergies with MEA related policies and strategies such as National Biodiversity Strategy and Action Plan (NBSAP), National Action Plan (NAP), Nationally Determined Contributions (NDC), and others, all of which emphasize the importance of engaging wider stakeholders, including CSOs, IPs, and gender, to achieve the objectives. Finally, it may be noted that the GEF-7 period coincides with the key phase in implementing the Paris Agreement that requires multi-stakeholder efforts, including civil society and communities, in meeting its goal. On the chemicals and wastes, the Stockholm and the Minamata Conventions are also increasingly

⁵ Evaluation of GEF Engagement with Indigenous Peoples (2017)

⁶ Joint GEF-UNDP Evaluation of the Small Grants Programme (2015) report that that "since 2006, the SGP has undertaken several steps to promote gender mainstreaming and women's empowerment, with results evident on the ground".

recognizing the role of civil society in addressing their challenges and have been closely working with the SGP to reach out to the local and community level. The Programme's strategic importance and relevance is further recognized, particularly with the adaption of the Sustainable Development Goals and recognition for a socially inclusive sustainable development.

23. Despite efforts made by other related initiatives, local CSO and community involvement in global environment and sustainable development actions could continue to be limited and slow in engagement without the facilitative role of SGP. Given the accelerating global environmental threats, inclusive environmental governance at all level is crucial. Good environmental governance considers the role of all sectors and actors including that of the local CSOs and communities, so that effective cooperation is achieved towards a sustainable future. As recommended by the STAP guidance on integration (2018), for integrated projects to be successful, all sectors and actors including local communities, civil society networks, industry associations or other key private sector actors as appropriate should be engaged. SGP's role to enhance the capacity of local CSOs and communities to engage in such process and influence the design of interventions to address global environmental challenges gains prominence. However, without such support, contributions from the CSOs and CBOs, particularly by vulnerable and marginalized communities will remain limited. Furthermore, there is also need to consolidate assets of projects that supported such local CSO and communities' capacity building for scaling up, mainstreaming and replication. The many community-based and CSO-led projects that SGP has supported, as well as its development as a funding modality that are highly regarded by both CSOs and government in participating countries, can be considered as built-up assets that can serve as effective foundation for expanded work in GEF-7.

24. *Portfolio overview:* Since its inception in 1992, SGP has implemented over 24,000 projects in total 133 countries (some SGP country programme have closed as they graduated from being an eligible country of the GEF), providing grants totaling USD 611.6 million in global and upgraded country programmes. During GEF-6, around 3500 new projects were approved, and 4,187 projects have been completed. With regards to focal area distribution during GEF-6, biodiversity focal area remained as the largest portfolio (39%), followed by climate change mitigation (23%), land degradation (21%). Some key aggregated results and achievements through the SGP projects from completed projects during the GEF-6 period are presented below:

- *Biodiversity:* Positively influenced management of 1,782 protected areas, including Indigenous Peoples and Community Conserved Territories and Areas (ICCAs), covering approximately 33 million hectares.
- *Climate Change Mitigation:* Application of low-carbon technologies, with 41 percent of the portfolio concentrated on renewable energy, 28 percent on energy efficiency solutions, and 26 percent on conservation and the enhancement of carbon stocks. Projects have supported 54,636 households in their efforts to achieve energy access co-benefits, including increased income, health benefits and improved environmental services.
- *Land Degradation:* 1.6 million hectares of land were brought under improved management practices, including forests, agricultural land, and water courses. 992,370 community members were able to improve agricultural land and forest management practices; and 2,008 farmer organizations and networks disseminated enhanced climate smart agro-ecological practices.
- *International Waters:* 103,186 hectares of marine and coastal areas and fishing grounds brought under sustainable management.
- *Chemicals and Waste Management:* 159 tons of pesticides appropriately disposed of, and 55,098 tons of solid waste avoided from open burning.
- *Capacity Development:* SGP has strengthened the capacities of 3,490 CSOs and 2,793 CBOs, comprising over 95,174 people, to address multiple challenges across all the relevant MEAs.

Grantmaker Plus: Results

25. Under GEF-6, SGP employed a strategy to expand its role beyond that of grantmaking. Grantmaker Plus enhances the overall effectiveness of the GEF-6 SGP's portfolio by engaging in knowledge platforms, policy dialogues, and social inclusion. During the GEF-6 period, the introduction of the Grantmaker Plus initiative has yielded the following key results:

- **Knowledge Sharing and Capacity Development:** SGP supported 2,547 peer-to-peer exchanges; 3,754 training sessions on varied themes relating to global environment and project management. During this period, as an annual average -78% of SGP country programmes worked on strengthening grantee networks; 74% of SGP country programmes connected grantees with enabling NGOs; and 72% of SGP country programmes connected grantees with government extension services. In addition, SGP supported the knowledge flow and technology transfer among countries and regions by facilitating South-South exchanges.
- **CSO-Government Dialogue:** SGP policy dialogue platforms have leveraged existing and potential partnerships, as well as built trust and fostered joint networking relationships between civil society and government partners to develop and implement relevant national policies, strategies, and development plans. During GEF-6 period, 298 such dialogue platforms were initiated, involving 9,699 CSO/CBO-represented dialogues relating to policy and development planning. For example, SGP has facilitated CSO-Government Dialogues in 26 countries to bring local voices to their INDC development, as a critical process leading to the Paris Agreement.
- **Social Inclusion:** SGP continues to head the way and increase integration of marginalized groups in environment and development initiatives, including women, indigenous peoples, youth, and persons with disabilities. The improvement of livelihoods remains a key strategy of the SGP, since the sustainable management of land, biodiversity, and other ecosystem resources directly affects the generation of global environmental benefits that contribute to the wellbeing of local communities. On average, during GEF-6 period, 30% of completed projects were led by women, and 16% addressed and engaged indigenous peoples.

Broader Adoption: Scale Up and Replication

26. Broader adoption of SGP project results and approaches, including their scale up, replication, and mainstreaming continued to be a core objective of GEF-6 SGP programming. Under GEF-6, at least 626 completed projects were reported to have been replicated or scaled up through CSOs/CBOs and governments, and 377 projects had influenced policy, representing an average of 15 percent and 9 percent, respectively, of closed projects each year. In addition, investments and assets also resulted from SGP's work with GEF Full-Sized Projects (FSPs), in synergy as well as in a supportive role, in implementing community components of these projects. Globally, several UNDP and donor co-financed programmes have also been implemented by the SGP, including inter alia: (i) Community-Based Adaptation programme funded by AusAid; (ii) Community-Based REDD+ programme in partnership with UNREDD and with financing from Norway; (iii) Community Development and Knowledge Management in the Satoyama Initiative (COMDEKS) funded by the Japan Biodiversity Fund in collaboration with UNEP and UNU; the (iv) EU funded Environmental Governance and NGO Strengthening project.

27. All these foundational assets and existing investments from government, bilaterals, donor agencies and international NGOs will be treated as "baseline" from which SGP Country Programme Strategies will develop its priorities and approaches which then feed into supporting the development (i.e. partnership and co-financing components) and selection of individual small grants projects to ensure the strategic and catalytic nature of SGP grantmaking.

28. **GEF-7 SGP Key Approaches:** Reiterating the challenges recognized through the GEF 2020 Strategy, the GEF-7 Programming Directions Paper points that the global environment—the ecosystems, biomes and processes that regulate the stability and resilience of the Earth system—are being stretched to a breaking point. Radical transformation of human activities is required to reverse such degradation trends. The GEF Small Grants Programme (SGP), implemented by United Nations Development Programme on behalf of the GEF Partnership, is a key mechanism of the GEF that contributes to such transformational change by mobilizing and empowering civil society and local communities from the bottom up.

29. SGP finances community-led initiatives to address global environmental and sustainable development issues. It is specifically designed to mobilize bottom up actions by empowering local civil society and community-based organizations, and poor and vulnerable communities, including indigenous peoples and women. Local communities have a profound understanding and knowledge of their environment and community needs and play a key role as stewards of the local and global commons. The program works to empower them to find innovative solutions in addressing global environmental challenges. The active participation of local communities in developing, testing and applying innovative solutions can play a key catalytic role for transformational change across a range of socio-economic settings, ranging from LDCs, SIDS, as well as middle and upper-middle income countries.

30. In line with the approved GEF Council paper on GEF Small Grants Programme: Implementation Arrangements for GEF-7, SGP financed projects will have greater focus in promoting and supporting innovative and scalable initiatives at the local level to address global environment issues in priority landscapes and seascapes. SGP will also support projects that would serve as “incubators” of innovation, with the potential for broader replication of successful approaches through larger projects supported by the GEF and/or other partners. In this context, SGP will strengthen its partnership approach as a CSO-led multi-stakeholder platform, by working closely particularly with private sector and government. SGP grantees and partners will act as effective and important force to mobilize bottom up, civil society movements for systemic change in promoting environmentally sound sustainable development at the national, regional, and global levels.

31. After 27 years of implementation, SGP is poised to build on its successes and transform into a global platform for promoting community-based actions for global environmental issues. It will adopt and strengthen the following approaches to increase the effectiveness of program implementation under GEF-7:

(a) Empowering local communities

32. As a unique global mechanism and platform which aims to empower local communities, particularly vulnerable peoples, to address global environmental challenges, during GEF-7, SGP will increasingly strengthen social inclusion by effectively reaching out to local communities with a focus on women, indigenous peoples, youth, and persons with disabilities. Most of the grants will be provided directly to the beneficiaries while, at the same time, supporting those CSOs that act as facilitators and intermediaries. Communities targeted by SGP are often the poorest and most marginalized and vulnerable; they typically have low levels of personal and institutional capacity to adequately address global environmental problems. Building on the evidence base of the 2015 IEO and other evaluations, SGP has inter alia been recognized as the prime modality for GEF engagement with indigenous peoples (GEF, 2017c), and plays a leading role on gender equality and the empowerment of women (GEF, 2017a).

(b) Targeting support to LDCs and SIDS

33. Under GEF-7, SGP will further strengthen its support to LDCs and SIDS by providing (i) priority access to funding and support; (ii) capacity development and training; and (iii) learning, sharing, and networking. Approaches and tools promoted through SGP projects are considered particularly relevant to LDCs and SIDS, where the capacity of CSOs and local communities remains limited. Furthermore, the relatively smaller scale of interventions through SGP projects can ensure significant and lasting impact in many of the smaller

countries. SGP is currently operational in 69 LDCs and SIDS that are eligible for GEF funding. As opportunities arise, SGP aims to include a few additional LDCs and SIDS that have requested SGP participation. Notwithstanding the above, SGP continues to contribute to a vital unmet need in many middle and upper-middle income countries, consolidating lessons learned and results through the SGP Upgraded Countries Programmes and other mature SGP country programmes for dissemination at the global level through the global South-South knowledge transfer platform and other activities.

(c) Supporting community innovation on emerging issues

34. Innovation often arises when there is freedom to experiment and take calculated risks, and local conditions and situations are respected during project development and implementation. SGP seeks to maximize local knowledge and capacity by providing greater flexibility and enhancing project adaptability. Communities are thus empowered to seek solutions and make decisions through SGP project support. Such a demand-driven approach, combined with flexibility, accessibility, and risk taking constitute the SGP as an incubator and accelerator of innovation. The 2015 Joint IEO Evaluation noted that the “SGP pilots, innovates, and contributes to knowledge about what works and what does not in different contexts. Seeking to measure only ‘results’ overlooks this and could even discourage innovations and risk-taking” (GEF and UNDP, 2015: page 44). To encourage SGP Country Programmes and communities to adopt innovative solutions, SGP proposes to launch several programs to identify and support emerging new themes under its strategic initiatives. SGP will combine its country-driven approach in terms of project identification and selection, with greater global strategic guidance, capacity development, and knowledge sharing on emerging issues. It also intends to scale up and mainstream successful innovative practices on a global scale by leveraging partners that include philanthropic foundations, the private sector, and other donors. By coordinating with other GEF-7 Impact programs and multi-agency initiatives, SGP plans to support various emerging issues, including inter alia: (i) community-based, artisanal, small-scale gold mining and mercury management; (ii) sustainable dryland management in the Sahel and other arid regions; (iii) community-based conservation of threatened landscapes and seascapes, including recognition of new governance types of conserved areas, and conservation of the habitat of iconic species; (iv) inclusive conservation approach partnering with indigenous peoples in the Congo Basin, Amazon and other globally important forests; and (v) women and eco-entrepreneurship to crowd in partnerships in support of sustainable value chains.

(d) Promoting partnerships and broader adoption: scaling up and replication results

35. Building on its mission, Local Actions Global Impact, SGP provides a network of local ideas and approaches that contribute to and influence policies and strategies at all levels. The Sixth Comprehensive Evaluation of the GEF (OPS6) highlights the success of broader adoption (e.g., scaling up, replication, and mainstreaming), demonstrated by SGP projects. Adoption of successful initiatives will continue to increase through the SGP’s CSO-Government-Private Sector Dialogue Platform and its Global Knowledge Platform (e.g., South-South cooperation, digital library, knowledge fairs), as well as by the creation of spaces for CSOs/CBOs to engage in policy and program development at the national and subnational levels. SGP also will seek active partnership with relevant institutions to leverage resources and scale up its initiatives for more wide-reaching results and impacts.

(e) Serving as a dependable global community-based grant mechanism and platform for the environment

36. Building on its over two decades of experience, SGP is well positioned to act as a dependable community-based and grant mechanism and platform to address global environmental issues in many developing countries. SGP aims to strengthen its partnership and synergies with organizations and initiatives to effectively benefit CSOs and local communities at the global, regional, and local levels. SGP also will liaise closely with the GEF Secretariat and GEF agencies on relevant programs and projects, including its Impact Programs (including Congo Basin and Dryland Initiatives) and Programmatic Approaches, as well as Full-sized and Medium-sized projects, particularly in relation to community issues. SGP has already played a key role as a community-based grant mechanism under several FSPs, such as the “child” projects under GEF Programmatic

Approaches on Wildlife Management and International Waters and the Integrated Approach Pilot on Food Security. This collaboration between different modalities of GEF funding available to countries has created strategic linkages between SGP and other GEF projects at the country level. It is also intended to ensure that innovative local actions, supported by SGP, will be scaled up at the national and subnational levels within the parameters of GEF FSPs.

(iv) **Objective and Strategic Initiatives**

37. The objective of the project is *“to promote and support community-based innovative, inclusive and impactful initiatives and foster multi-stakeholder partnerships at the local level to tackle global environmental issues in priority landscapes and seascapes”*.

38. This objective will be achieved through several strategic initiatives as described below. In alignment with the overall GEF-7 programming, SGP will focus its efforts on targeted strategic initiatives that promote integrated approaches in addressing key global environmental issues. As an overarching strategy, SGP will adopt and strengthen its landscape and seascape approach to focus and concentrate its programming on globally recognized important ecosystems (including Key Biodiversity Areas). It will seek synergies, implement multi-sectoral approaches by involving communities at the landscape/seascape levels, and facilitate community actions to effectively manage the complex mosaic land/seascapes. SGP will seek participation in further conceptualizing Impact Programs and relevant focal area programs and projects, while bringing in local community perspectives.

39. Depending on country and stakeholder priorities under the updated SGP Country Programme Strategy, each SGP Country Programmes may elect to focus on only a few of the strategic initiatives to further sharpen the scope of SGP grantmaking and achieve greater strategic impacts.

Strategic Initiative 1 – Community-based conservation of threatened ecosystems and species: land and water

40. Under this Strategic Initiative, SGP will demonstrate for conservation and sustainable use of threatened ecosystems and species in priority landscapes and seascapes through an integrated approach in alignment with GEF-7 biodiversity, land degradation, and international waters focal area strategies and Impact Program on Sustainable Forest Management. SGP grants under this strategic initiative will focus on both conservation and sustainable use: including management of protected areas and corridors, integrated river-basins, and large marine ecosystems with active involvement of communities (e.g. Indigenous and Communities Conserved Areas (ICCAs) and private protected areas) as well as mainstreaming biodiversity in key production sectors (e.g. agriculture, forestry, fisheries, and infrastructure). Specifically, SGP will support appropriate community-based measures that conserve biodiversity and support implementation of protected area/landscape management plans in priority landscapes or seascapes bringing under improved management of terrestrial and marine protected areas.

41. With the active involvement of civil society organizations (CSOs) and IPLCs, the project, under threatened ecosystems and species strategic initiative will focus on inter alia:

- a) Improved management effectiveness of terrestrial and marine **protected areas and corridors**; including Indigenous Peoples and Community Conserved Territories and Areas (ICCAs), private protected areas, KBAs and other effective conservation measures (OECMs);
- b) Improved community-led **biodiversity-friendly natural resource use practices and approaches**, including agriculture, fisheries, forestry, tourism, infrastructure, etc.
- c) **Freshwater and integrated river-basin management**, especially prevention, reduction and management of land-based pollution that flows into rivers and other freshwater systems.

- d) **Community solutions in blue economy**, including promotion of sustainable fisheries, aquaculture, eco-tourism and conservation and management of coastal habitats for sustainable community livelihoods.
- e) Enhanced community-led actions for **threatened species conservation**, including addressing human-wildlife conflicts.
- f) **Access and benefit sharing of genetic resources**, particularly in support of indigenous peoples' traditional knowledge and customary rights.

During project period, SGP will also support better expression of the value of projects for ecosystem services and ecosystem-based adaptation as well.

43. SGP will employ such approach that will promote a 'polycentric governance' approach, involving coordinated actions and interventions from different actors, including the government, communities, and private sector. Priority land/seascape areas will be identified taking into consideration partnerships with relevant GEF FSPs, as well as other projects and partners, to enhance local capacity to form regional networks of communities to deepen cooperation among stakeholders. Under this strategic initiative, SGP will also be addressing cross cutting issues such as: (i) improving knowledge and information collection and management systems to enhance awareness about best practices on conservation of land and seascapes and their associated biodiversity and ecosystems through communication, documentation and dissemination; (ii) support community-based efforts to improve policies that support conservation and sustainable use; (iii) and ensuring gender considerations mainstreamed into natural resources management. The strategic initiative will implement recommended actions under the SGP gender mainstreaming strategy including, but not limited to, making sure that gender and socially inclusive perspective is applied to all SGP grant making procedures and activities (including contributing to equal access to and control of natural resources of women and men as well as improving the participation and decision-making of women in natural resources governance), while also making sure that at the country and project level information is collected and shared across gender and social divides.

Strategic Initiative 2 – Sustainable agriculture and fisheries, leading to food security:

44. This strategic initiative will aim to test and promote community-based climate resilient agriculture, fisheries and food practices that improve productivity and increase ecological connectivity and deliver other benefits. SGP will also promote community-based biodiversity friendly practices and approaches (agriculture, forestry, fisheries and infrastructure) through focusing the grant-making strategy to provide consolidated support to target sectors in previous SGP operational cycles. During project period, four specific areas of work will be supported including:

- a) Increased efficiency and effectiveness of overall **environmentally sound food production and value chain**, including certification schemes of organic agriculture, fair trade, and others;
- b) **Agrobiodiversity conservation**, including extending support to producer networks, movements and value chains among small-holder farmers
- c) **Promotion of agroecological production methods**, including diversification and improved livelihoods; and
- d) **Community-based sustainable fisheries**, including promotion of traditional fisheries practices and knowledge
- e) Implement community-based actions to **remove deforestation from supply chain and expand restoration of degraded lands**.

42. Special attention will be given to agriculture in fragile ecosystems, including mountain communities to improve livelihoods of mountain peoples. Specifically, under the project, SGP will work with local farmers and fishers to promote and shift to sustainable agricultural production, support transformation of consumer level

production systems and re-focusing attention to increasing efficiency and effectiveness of overall food production and value chain addition processes both on-farm and off farm. In addition, support will be provided for integrated projects that aim at restoring ecosystem services or reducing the negative environmental trends such as land degradation and deforestation, biodiversity loss and climate change emissions induced anthropogenic activities on land. This strategic initiative will also aim at promoting diversification and improved livelihoods, such as through water harvesting, post-harvest management, business skills development to empower communities to better manage their natural resources and lead to global environment benefits.

43. This outcome will develop and implement several community-based sustainable land management actions that integrate climate resilient sustainable practices and other standards (e.g. land tenure, community participation). Where land degradation remains a visible problem and livelihoods continue to be jeopardized, SGP will support national efforts to address the challenge by supporting work towards Land Degradation Neutrality (LDN), applying the UNCCD LDN framework as appropriate. In this regard, SGP will coordinate efforts to ensure that SGP programming considers national efforts such as LDN hotspots assessment, target setting. Reflecting the overall LDN framework, SGP will employ measures to 'avoid', 'reduce' and 'reverse' land degradation in its grant making activities. Such measures will be identified as part of SGP countries' Country Programme Strategy (CPS) formulation process including where relevant incorporating LDN criteria during the selection of landscape/seascape for SGP intervention. According to the report 'Land Degradation Neutrality for Biodiversity Conservation: How healthy land safeguards nature' launched in March 2020, LDN and the CBD's 2011-2020 Strategic Plan for Biodiversity have multiple mutual objectives aimed at promoting the sustainable use of natural resources, ecosystems and biodiversity and can therefore strongly reinforce each other. Since both the UNCCD and CBD frameworks include a commitment to socio-economic goals, including contributing to health, livelihoods and well-being and ensuring that the benefits from the sustainable use of land and biodiversity accrue to all, especially women, indigenous communities and the poor and vulnerable, SGP will contribute to co-benefits between the two Rio Conventions.

44. These will be complemented by at least 2 CBOs/farmer leaders who adopt and demonstrate improved climate resilient sustainable land management (SLM) practices per landscape. In this way, more than 1 million ha of landscapes and over 50,000 ha of marine habitats will be brought under improved management and/or restored for multiple benefits while appropriate and improved SLM technologies will be applied to at least 140,000 ha. Beyond that SGP will support community level measures that promote sustainable fisheries including appropriate efforts to promote a ridge-to-reef approach by linking coastal zone management and land use activities in up lands with marine habitat use and management. Under this strategic initiative, SGP will work with women entrepreneurs and women led organizations as well as farmers, focusing on agricultural production through improved yields, value addition processes and helping farmers (men/women) to better market their farm products at the right time and with proper prices. Gender roles will be identified and integrated into training and other SGP interventions (e.g. on post-harvest technology to reduce losses in agriculture production).

Strategic Initiative 3 – Low-carbon energy access co-benefits:

45. Under this initiative, SGP will aim to demonstrate and scale up low carbon, viable and appropriate technologies and approaches demonstrated and scaled up in partnership with private sector and government that improves community energy access, in line with larger frameworks such as SDGs and NDCs. The focus will be on providing low-cost bottom-up energy solutions with high potential for carbon emissions reductions using integrated approach going beyond energy sector aiming at increasing climate resilience, reducing poverty, enhancing gender equality and achieving the sustainable development goals. Particular focus will be provided in supporting innovative solutions presented by women and youth groups. Such solutions will continue to form a crucial part of the "decarbonization" and transition to low carbon economy, while laying the groundwork of new infrastructure at community level, addressing energy service needs of rural, urban and remote communities and entrepreneurs, who cannot be served by the central grid in case of electricity or centralized

distribution systems in case of cooking and heating fuels. SGP will continue documenting community innovations, tracking typologies of new community technologies, particularly those emerging from South-South exchanges.

46. In supporting community level actions for implementation of the Paris Agreement with an increased focus on the NDCs, SGP will focus on the following initiative under this strategic initiative:

- a) Promotion of **renewable and energy efficient technologies** providing socio-economic benefits and improving livelihoods, including innovative and catalytic financing.
- b) Support **off-grid energy service** needs in rural and urban areas.

47. SGP will utilize its proven mechanisms such as the CSO-Government-Private Sector dialogues to galvanize a ‘whole of society’ effort to raise the ambition for climate action, hold local and national governments accountable to the NDC climate measures and ensure inclusion of community voices and priorities in any national and/or local efforts to implement the NDCs. To ensure this complementation, all SGP country program will be required to hold consultations to assess the status of NDCs development and implementation in a respective country and conduct at least one CSO-government-private sector dialogue focusing on NDCs during the project period. In the countries, where NDCs implementation is at the initial stages and/or facing challenges, the dialogue may serve, at a minimum, to familiarize stakeholders with the key aspects of climate policies and create awareness.

48. Moreover, the focus on low-cost bottom up energy solutions will ensure that significant co-benefits are generated from supporting energy access that contribute towards the achievement of the SDGs. In continuation of efforts of SGP to identify, describe, measure, and quantify the co-benefits of the decarbonization interventions, during the project period, SGP will build on this knowledge and broaden its focus to document the links between Paris Agreement and 2030 Agenda at the local level. Several recent studies demonstrated that climate actions highlighted in the NDCs also have the potential to generate mutual benefits across the 17 SDGs. In this vein, SGP will conduct pilot studies in select countries using new tools and approaches developed by UNDP and partners to demonstrate such links at the local level.

49. SGP will support innovative technologies and approaches with initial catalytic financing and then encourage wider deployment and scaling up. The absence of effective local applications, tailored to the country and community context, often constitutes a barrier for adoption of low carbon technologies, even in developed countries, despite the availability of certain technologies globally. SGP will support innovative technologies and approaches with initial catalytic financing and then encourage wider deployment and scaling up. SGP will focus on capacity building, knowledge management and systematization, putting in place enabling frameworks and mechanisms at the community level and will partner with national and global initiatives to ensure that innovations are implemented based on programmatic approach creating larger impacts. Continuing the efforts started previously, SGP will also focus on building partnerships with larger initiatives in order to scale up successful innovations to national and global level.

Strategic Initiative 4 – Local to global coalitions for chemicals and waste management:

50. SGP will aim to demonstrate, deploy and transfer innovative community-based tools and approaches to sound chemicals and waste management, with support from national and international partners, networks and platforms. Under this initiative, SGP will focus its support towards communities in the forefront of threats related to chemicals and waste either as users or consumers. Activities will include support for innovative, affordable and practical solutions to chemicals and waste management in joint effort with partners including with government agencies, research institutions, private sector and international agencies. SGP will seek to establish systems of local certification of producers and/or their products, which could then expand to the national level through producer-consumer agreements scaled up to national policies.

51. SGP will consolidate its work particularly on pesticide management, waste management, and mercury, and work with partners to promote local to global coalitions and networks that could effectively bring local knowledge and experiences to policy dialogue and vice versa. SGP will also build on its successful previous projects on community-level artisanal and small-scale gold mining in reducing/eliminating use of mercury, and coordinate with the related GEF programs for further replication and scaling up. During the project period, SGP will develop a viable portfolio on community-based circular economy and plastics management and continue engagement with at least two local-to-global coalitions and networks, including Basel, Rotterdam and Stockholm Convention Secretariat, governments, the private sector, and local to global NGOs. Other chemicals of global concern (e.g. mercury) and their waste will also be reduced, disposed, eliminated and avoided through targeted initiatives while a comprehensive awareness and outreach strategy for sound chemicals and waste management will be implemented all SGP countries.

52. During the project period, among others, SGP will focus on the following four areas of support:

- a) **Prevent or reduce mercury use and promote alternative to mercury in Artisanal and Small-scale Gold Mining (ASGM)** –implemented mainly through a global innovation program on ASGM and mercury management, SGP will support 1-2 community projects on ASGM in around each of the 5-6 country programs, including eight GOLD participating countries and 1-2 active SGP country programs. Indicative activities include piloting and testing mercury free technologies and innovation in artisanal gold mining; measures to reuse/recycle mercury to reduce emissions in ASGM and training and demonstrations to miner communities in precautionary measures to reduce negative health effects; awareness and knowledge sharing to facilitate cross-community learning;
- b) **Plastics, solid waste management and circular economy** – SGP will support local communities and grassroots solutions contributing to the implementation of the plastics management and circular economy by providing circular solutions to plastic waste problems through community-based actions to “reduce, reuse and recycle” plastics, known as “3Rs” ranking by the priority of actions. Priority actions will focus on reduction of plastics and development of alternatives to plastics so that the tap source of pollution will be turned off. The types of activities may include: 1) material engineering and product design to promote 3Rs; 2) consumer use and behavior shift due to campaigns, awareness raising and capacity development; 3) waste collection and management to avoid open burning of solid waste;
- c) **Reduce/remove chemicals in sustainable agriculture** – SGP will support community level measures for the production and use of organic manure, including organic waste collection and composting to reduce the use of chemical fertilizer, production and application of organic and natural pesticides to replace the use of pesticide and other innovations to reduce pesticides use in agriculture;
- d) **Enhance local to global coalitions on chemicals, waste and mercury management** – SGP will continue collaborations with the European Environmental Bureau’s Zero Mercury Working Group and the International POPs Elimination Network to develop and strengthen local to global coalitions on chemicals, waste and mercury management to ensure actions at local, national and global level are connected, coordinated and mutually re-enforcing.

53. Under the chemicals and waste management portfolio, many projects have been led by women (these cases were well documented in the SGP publications: “Community-based Chemicals and Waste Management” and the publication “Plastics and Circular Economy: Community Solutions”). While we recognize the importance to engage most vulnerable and marginalized groups in the projects, it is also concerning to point out that waste management, especially informal waste picking and sorting, is often undertaken by women, youth and disabled people who cannot find more profitable, cleaner and respectable jobs, and could also reinforce negative social norms and roles. In GEF-7, SGP under this strategic initiative will focus on organizing and formalizing the waste management sectors informally managed by poor women and help them to develop

income-generating activities models such as organic farming, recycling, waste to resource production, and alternative livelihoods, such that SGP interventions support gender transformations rather than entrenching established gender roles. Furthermore, SGP will continue promoting awareness raising, capacity development and networking among women for sound chemicals and waste management.

Strategic Initiative 5 – Catalyzing sustainable urban solutions:

54. This strategic initiative will support the promotion of appropriate integrated community-oriented sustainable urban solutions in partnership with private sector and government. In doing so, SGP activities will align with and contribute to the GEF Sustainable Cities Impact Program. SGP will pilot activities to target vulnerable people and communities in urban contexts. During the rapid urbanization process, traditional connections, linkages and networks among local communities can be disrupted and lost, making urban environmental governance more challenging. SGP will promote an integrated management approach to address urbanization challenges from the point of origin (i.e. in rural areas and migration corridors) to the destinations of people's movement during this urbanization transition.

55. Under this strategic initiative, during the project period, SGP will focus on:

- a) **Improved capacities to promote community-driven, socially inclusive and integrated solutions to address low-emission and resilient urban development** by strengthening capacities of key service providers at the local municipality level to promote community-driven and integrated solutions to address low-emission and resilient urban development. These solutions will cover at least 12-13 SGP countries.
- b) **Demonstrate innovative socially-inclusive urban solutions/ approaches** (including waste and chemical management, energy, transport, watershed protection, ecosystem services and biodiversity). This will involve working with various sectors and actors including the private sector, in at least 12-15 countries, SGP will demonstrate selected urban solutions addressing several key urban environmental issues – these may include waste and chemicals management; urban wetland and watershed management; energy and transport; and ecosystem services and biodiversity conservation.
- c) **Promote public-private partnership approach to sustainable urban solutions** for marginalized urban communities. In several countries, SGP will develop and implement a viable public-private partnership approach to sustainable urban solutions for marginalized urban communities. Private sectors will be actively engaged and leveraged to support this strategic initiative.

56. Under catalyzing sustainable urban solutions, women as a subsection of the population, particularly with the current migration trends from rural/peri- urban areas to urban areas, are most vulnerable to access to basic services and negative effects of environmental, social and economic impacts. SGP will place an emphasis on building capacities as well as a gender equity-based access herein. This will include support to entrepreneurship, in green jobs, development of new partnerships of private sector- communities and government to support engendered access to green microfinance, skills development and using community evidence to support policy level changes and scaling up of initiatives.

Cross cutting initiatives:

In addition to the above thematic strategic initiatives, SGP will deploy the following cross-cutting initiatives as Grantmakers Plus and social inclusion activities to further enhance innovation, inclusion, and impact. With respect to the grant maker plus initiatives, while programming directions and procedures are defined at the global level, the actual activities are identified, planned and implemented at the country level applying the same process as all SGP grants. As such all resources ear-marked as grant-maker plus will be delivered as either grants to appropriate CSO/CBO grantees, or in some cases technical support provided by the SGP National Coordinator and National Steering Committee members.

1. CSO-Government-Private Sector Policy and Planning Dialogue Platforms:

57. The aim of this is to ensure that community voices and participation are promoted and enhanced in the global and national strategy development related to global environment and sustainable development issues. During the project period, SGP will expand its innovative CSO-Government Dialogue Platforms towards a greater engagement of private sector to leverage its potential to invest and support sustainability at the local level. These platforms will also provide opportunities to discuss possible shifts in relevant policies and practices to promote sustainability. At least 1 national-level targeted CSO-Government dialogues will be convened in each country to support policy and planning development of the government and key stakeholders. At the international level, around 4 global CSO-government and other stakeholder dialogue on the global environment will be organized while to expand the dialogue platform for greater engagement of private sector. At the national level, around 10 CSO-government private sector/business forum will be facilitated to foster CSO-Govt-private sector dialogue on environment.

2. Enhancing social inclusion

58. SGP is well recognized for its inclusive approach that promotes social inclusion and equity by working and engaging with women, youth, indigenous peoples and persons with disabilities. It will further enhance its approach to champion and advocate for the involvement and active participation of vulnerable groups as key stakeholders for environmental action and advocacy. This strategic initiative aims to ensure that social inclusion, particularly empowerment of women, indigenous peoples, youth and persons with disabilities, is further enhanced through both specific initiatives/projects that targets these populations as well as mainstreaming inclusive approach through all SGP projects on environment and livelihood improvement.

59. SGP Country Programmes will actively support actions to promote women's role in implementation of projects and promote gender equality and women's empowerment relevant to the local context. To this end, all SGP country programmes will ensure that gender mainstreaming considerations are applied consistently. SGP will contribute to the GEF gender strategy by the following: concrete contributions will be made to close gender gaps in access to and control over resources in at least 30% of SGP new portfolio; at least 30% of SGP projects are led by women or institute mechanisms for increased participation and decision-making by women; women and girls constitute at least 50% of beneficiaries of all SGP projects.

60. On Indigenous Peoples, SGP will expand the Indigenous Peoples' Fellowship Program, and further build capacity of IPs through targeted support for IPs to have an increased role in the decision-making in relevant countries. Further, in alignment with the GEF-7 biodiversity focal area on inclusive conservation (i.e. role of ICCAs to the CBD Aichi and post-2020 Targets), and in complementarity with efforts to increase IPs engagement with climate mitigations efforts (i.e. CBR+ and other REDD+ standards), the SGP IP Fellowship program will be expanded to include IPs across a range of SGP country level activities including inter alia: (i) governance and membership of National Steering Committees (NSCs); (ii) SGP country programme strategy (CPS) development, including a dedicated funding window and/or call for proposals from IP organizations as relevant; and (iii) monitoring and evaluation of SGP project outputs and outcomes, including culturally-appropriate formats and methodologies.

61. SGP will continue to demonstrate the involvement of youth in SGP projects in at least 30 to 35 percent of its projects. Guidelines and best practices on engaging youth will be developed and widely shared with countries. SGP's youth approach will be realized through systematic piloting in participating countries. Grantmaking will include direct project level investments in priority landscapes and seascapes incorporating youth theory of change for a selected few projects through both working with youth as individuals and as organizations/ networks/ councils tackling global environmental issues. Support to capacity Development will include investments in skills trainings, mentorship programmes, and channeling youth perspectives in community, national and international discourses- this will usually be provided through a grantee organization with a focus on youth and through global and regional partnership such as with the UNDP Youth Co-Lab and

the INYD. Youth activities will also be integrated in SGP grant-maker plus initiatives such as promoting CSO/youth-government dialogues and ensuring that certain IP fellowships go to IP youth. SGP will also venture into developing youth thematic focus such as in climate change and urban waste management. The Youth Global Video competition on climate change in partnership with UNFCCC will serve as an important starting point. Efforts to distill and codify key lessons and promotion of effective partnerships with local networks and coalitions and engaging private sector, academia, media etc. will leverage SGP grant making results.

62. Finally, with regards persons with disabilities (PwD), SGP programming will demonstrate and generate lessons and good practices on how environment related projects have the potential to actively promote participation of PwD to ensure concrete results on both environment and socio-economic issues. Engagement with disabled persons organizations will enable integration of important perspectives from the disabled communities into guidelines. SGP grant-making will entail support to community projects with PwD that brings together cross-sectoral implementation of the SDGs as well as the consideration of the “Sendai Framework” on Disaster Risk Reduction and Recovery (DRR&R). Working with a disability focused organization, SGP will also support capacity development including training to proponents on appropriate project design and monitoring and evaluation. In the spirit of integration, SGP will invest in efforts to promote integrated approaches that address all social inclusion aspects – gender, youth, indigenous peoples, PwD – wherever possible, feasible and appropriate.

3. Monitoring and Evaluation

63. During the project period, SGP will enhance capacity and system to implement the newly developed M&E strategy is implemented at all levels, including project, country and global levels. Building on the recommendations of the 2015 Joint GEF-UNDP Evaluation, efforts have been made to improve SGP’s M&E system, and design more streamlined and useful tools and activities that balance the need to measure and capacity of local CSOs and communities. A revamped M&E and Results Based Management Strategy has been developed in 2019, capturing key objectives, processes and responsibilities. Updating of the online database to support generation of both quantitative and qualitative analytics will be undertaken at the start of GEF-7. SGP will also monitor, measure and report its contribution in alignment with 7 of the 11 most relevant GEF-7 results framework and indicators (please see relevant section 6 Monitoring and Evaluation Plan for further details).

4. Knowledge Management

64. The objectives knowledge management in SGP are to: capture knowledge, leverage local expertise and give voice to civil society, identify new approaches and ways of learning, improve effectiveness, improve capacities of staff and grantees, promote and encourage innovation, address operational and programmatic challenges effectively, influence policy and scale up good practices.

65. To implement the SGP knowledge management system, different actions at the three levels of global, national and project level are envisaged. At the global level, SGP provides guidance on how to capture and disseminate knowledge and conduct knowledge exchange at the local level so that it can be aggregated at the global level; shares technical publication and provides guidance of each focal and cross cutting areas of work; organizes regional workshops to exchange knowledge and provide training to its staff; and shares good practices emerging from the portfolio at global conferences and events. SGP also establishes partnerships with a variety of partners to upscale best practices in environmental conservation and works to capture and disseminate the lessons learned and best practices of its massive portfolio in case studies, fact sheets, publications, and new media. Below is a description of key KM practices done at the global level. Key global level knowledge management practices include: the knowledge management platforms including the digital library of community innovations, communities connect platform; bringing CSO voices to global forums; Portfolio reviews and case studies; Best practices; Coaching and mentorship; Story-telling, mapping technologies and expert locators; and communities of practice (CoPs).

66. At the country level, each country programme composed by a National Steering Committee, a National Coordinator and sometimes a Programme Assistant, work directly with the communities in (i) capturing their lessons; (ii) conducting knowledge exchanges; (iii) organizing training workshops; (iv) establishing and nurturing networks of NGO's and CBO's; (v) working with the government in achieving national environmental priorities; (vi) and helping to scale up and replicate best practices and lessons learned. Each country programme outlines a knowledge management plan as part of their Country Programme Strategy for each operational phase of the programme. In addition, country programme teams provide guidance and develop capacity of local communities and standardize the uptake of information, lessons learned and best practices. Based on these experiences, country programmes routinely produce knowledge materials in local languages, including project fact sheets, informational brochures and case studies, to disseminate at key national events and conferences. Some of the specific activities carried out at the national level include knowledge fairs; stakeholder workshops; creating or strengthening networks; centers of excellence or demonstration sites; training and how-to manuals; leverage the NSC and knowledge broker.

67. At the project level, each project needs to include a knowledge management plan with a corresponding budget that allows the programme to capture their experience as well as to access the training needed to carry out the projects. Knowledge management activities at the project level could include peer to peer learning, training and facilitated exchange of knowledge.

68. Thus, under GEF-7, specific knowledge management initiatives will be envisioned to strengthen project and country level activities with a focus to scale up, replicate and mainstream successes and disseminate the learnings. At the global level, knowledge exchanges and innovation will be promoted through SGP's revamped knowledge platforms: The Digital Library of Community Innovations and the South-South Exchange Initiative. The digital library is an effort to document and curate the innovative solutions developed by indigenous peoples and local communities to environment and sustainable development challenges. SGP will partner with relevant organizations to expand the reach and use of these practices.

69. The South-South Exchange initiative will continue to support knowledge transfer and exchange across countries and regions encouraging replication of good practices supported by the portfolio. These initiatives produce high impact and scaling up of the innovations and practices developed by SGP grantees, as well as other CSOs at the regional level. Another is Communities Connect, a collaborative platform started in partnership with the GEF CSO Network, to promote the solutions created by communities and civil society organization to sustainable development issues which will be revamped and strengthen during GEF7 period.

70. The goal of the South-south cooperation initiative is to support communities in mobilizing and taking advantage of development solutions and technical expertise available in the South. In this regard, learning opportunities and technology transfer from peer countries will be further explored during project implementation. This complements current SGP grant-making results, as the south-south initiative will support the achievement of impactful results and scaling up of the innovations and practices developed by SGP grantees, as well as other CSOs at the regional level, as currently all grant making, and associated knowledge exchange happens at the national level. SGP will partner with relevant UN and other agencies as appropriate, including the UN Office for South-South Cooperation, the UNDP South-South Exchange Platforms, and other organizations, such that activities by partner organizations are complemented and a critical mass of south-south knowledge exchange is created during the project period.

(v) *Alignment with GEF focal area and/or Impact Program strategies*

71. As a GEF corporate programme, SGP has always aligned its strategies to that of the GEF with the expectation that its role is to translate such strategies to community and local CSO actions and provide a testing

and evidence base for further scaling up. SGP contributes to achieving GEF's strategy outcomes by supporting innovative initiatives at the level of communities. The results framework SGP and associated targets for global environmental benefits will also align with the overall GEF-7 results architecture.

72. During GEF-7, a key vehicle for the GEF to help countries pursue holistic and integrated approaches for greater transformational change in key economic systems, and in line with their national development priorities are the Impact Programs. These collectively address major drivers of environmental degradation and/or deliver multiple benefits across the many thematic dimensions the GEF is mandated to deliver. The Impact Programs also contribute in significant ways to each of the Focal Area Strategies while at the same time delivering multiple benefits across several MEAs. As noted in the GEF Council approved paper on GEF Small Grants Programme: Implementation Arrangements for GEF-7, SGP will seek to coordinate and provide community-level inputs to the Food, Land Use, and Restoration Impact Program through its activities under the Strategic Initiative on Sustainable Agriculture and Fisheries, while the approaches under the Strategic Initiative on Catalyzing Sustainable Urban Solutions will be implemented and closely aligned with GEF-7 Impact Program on Sustainable Cities. Modality for coordination will be further explored as the Impact Programs are being designed. Initial discussions on synergy with the Sustainable Forest Management (SFM), Food and Land Use and Restoration (FLUR), and the Sustainable Cities impact programs are underway.

73. In order to enable strategic investments that are strongly aligned with the GEF focal area and Impact Programs, SGP grantmaking at the country level will be implemented based on the Country Programme Strategy (CPS) that further clarifies alignment based on country specific context. The SGP CPS will be prepared by each country to enable country-driven and integrated investments at the country and landscape/seascape levels. In all countries, the CPS development process will be undertaken in a consultative manner to identify SGP's value added within the priority global environmental issues in line with the concerned MEAs and national policies and plans to guide SGP grantmaking and ensure its complementarity with other donor and country supported initiatives. The SGP CPS will ensure that the SGP grant-making strategy is consistent with the GEF-7 Programming Direction and specific focal area strategies. For example, in Biodiversity, the project will support the CBD's Aichi targets, those related to protected areas (11), ecosystem services (14) and traditional knowledge, innovations and practices (18), and contribute to the negotiations and development of the post-2020 targets to be agreed upon at CBD COP15 in China in 2020. During GEF-7, SGP will contribute directly to the relevant GEF core indicators such as the area of terrestrial and marine PAs under improved management and governance effectiveness, area of landscapes/seascapes under improved management to benefit biodiversity and ecosystems. Similarly, for Land Degradation, SGP initiatives will contribute to the Land Degradation Neutrality (LDN) and promote sustainable agriculture, fisheries and food systems at the community level through improving productivity, livelihoods diversification and improvement and promotion of technologies such as sustainable land management, harvesting, post-harvest management, business skills development to empower communities to better manage their natural resources. It will contribute directly to GEF-7 core indicators such as the area under SLM. Likewise, SGP programming at the country level will be in alignment with and contribute towards the achievement of the country's NDCs including as appropriate supporting community-level actions to enhance ambition and delivery of NDC measures at the local level.

(vi) *Incremental/additional cost reasoning and expected contributions from the baseline and co-financing*

74. SGP provides support to communities and CSOs in their work to contribute to both local and global environmental benefits. A defining characteristic that differentiates SGP from other GEF programs is its ability to function as a demand-based type of support modality, thereby engendering strong community and country ownership. This is evidenced by the strong global environmental benefits (as described under the results section above) that are derived from SGP operations at the local and national scales.

75. Furthermore, SGP is an excellent facilitator of replication of innovations supported by the GEF. The GEF IEO 2015 evaluation report demonstrated broader replication in GEF by describing how replication of SGP innovations occurs at different scales – from local to national, to global levels. Replication of innovation is often identified at the local level from neighbor to neighbor, ultimately being mainstreamed at the local scale, wherein local governments integrate SGP interventions into their plans and strategies. The same IEO report cites an example of how SGP grantees in Uganda worked with the local governments to introduce and implement waste management programs -- the results of which directly helped attract additional investment, including from the World Bank. Similarly, broader adoption at the national level is facilitated by the SGP through influencing national government policies and frameworks. For example, SGP support to community-based PA management in Jordan resulted in wider changes in the protected area laws in the country. In some cases, promising innovations of the SGP are picked up by multi-lateral development banks (MDBs) for large scale replication – a case in point being the scale up of an SGP grantee project on sustainable extraction of oil from coconuts by the Inter-American Development Bank in Panama.

76. Without the GEF support through SGP grant-making, building on the strong results on environmental protection, rehabilitation and overall sustainable development delivered so far, replication and scaling of innovations that have been nurtured by the SGP will not be taken to the next level. The baseline scenario described shows that much more needs to be done as increasing populations of poor and vulnerable communities try to increase their agricultural productivity, access energy, and use fisheries, often-times through unsustainable means, further jeopardizing their livelihoods and the ecosystems these depend on. While many developing country governments have started to put more resources to local development and to CSOs as partners, the demand for socio-economic development coupled with the lack of awareness and capacity, as well as mechanisms to integrate this demand to similarly compelling environmental concerns, have led to an imbalance in the allocation that is inimical to environmental needs. Moreover, for many marginalized groups including Indigenous Peoples, SGP remains one of the only sources of concrete support. This is true even in the case of the GEF, as supported by a dedicated GEF Independent Evaluation Office (IEO) brief that assessed the engagement of the GEF with Indigenous peoples.

77. In addition, SGP has formed robust and mutually beneficial long-standing partnership with a broad range of international, national and community-level initiatives and partners. SGP will strengthen these partnership models, including with a possibility to strengthen donor platform coupled with a proven decentralized delivery mechanism. The program will actively seek closer coordination and synergy with relevant partners, including foundations and the private sector. This is a win-win for all parties as the tried-and-tested mechanism can effectively and efficiently support delivery of community-level interventions for GEF FSPs and other large-scale initiatives. This is fully supported by the findings of the GEF IEO 2015 evaluation report which underscores that “good integration of well-established SGP national programs with the respective overall GEF country portfolio—possibly through a formal mandate to deliver the community-level components of GEF projects with the active participation of local communities—can increase the likelihood of sustainability and generate cost savings to the GEF as a whole”.

78. Beyond that, SGP will mobilize partnership for complementary activities that support further scaling up of community-based initiatives building on the strong collaboration established with the governments of Australia, Germany, Japan and Norway among others. Further, SGP will work with the private sector to upscale pilot innovations to the mainstream as discussed above. SGP will act as an incubator helping to connect successful and promising initiatives with other channels for continued support while advocating for enabling environment and supportive policies. Finally, SGP will actively promote linkages with relevant GEF-7 Impact Programs and Focal Area programs for cooperation and complementarity. SGP will seek to develop coordination mechanism with the relevant programs at the global and country levels and continue to identify opportunities to share successful methodologies and approaches and to support implementation of community components of GEF Full-sized and Medium-sized Projects. Evaluative evidence gathered from many

countries and stakeholders supports such a role for the SGP. According to IEO 2015 report, SGP “has been cited as an effective channel to share information and raise awareness among stakeholders at the local level in a number of countries”

III. RESULTS AND PARTNERSHIPS

(i) *Expected Results*

79. SGP provides support to achieve global environmental benefits (GEBs) at the community level. SGP strengthens the capacity of communities and civil society organizations, increases their knowledge and awareness about environmental threats, and provides them financial support to overcome short-term decision-making that negatively affects environmental resources. In this way, SGP delivers five key categories of development results, often interrelated namely: (i) global environmental benefits; (ii) socio- economic benefits; (iii) innovation; (iv) capacity development; (v) broader adoption of SGP (scaling up, replication, mainstreaming and policy influence). Moreover, within the GEF, UNDP, and other agencies, tested SGP approaches, lessons learned, country staff, and stakeholder networks have become resources in the design and/or implementation of larger projects.

80. SGP will continue to support projects that render high levels of success in securing global environmental benefits through community-based initiatives. In this regard with the GEF-7 funding, SGP has plans to deliver the following global environmental benefits under the current project:

- On biodiversity, the grant-making approach will target of 2.7 million hectares of landscapes under improved management to benefit biodiversity. Community level biodiversity compatible practices will also be promoted in around 120,000 hectares of marine habitats and MPAs.
- On climate change mitigation, SGP portfolio will apply low carbon technologies that will target around 18,000 households and increase installed total renewable energy (RE) capacity of 350 KW from around 60 technologies that will be demonstrated. SGP interventions will also support 18,000 hectares of forest restoration/avoided deforestation. Likewise, for sustainable urban solutions, SGP will identify, test and demonstrate around 25 innovative integrated urban energy solutions.
- On land degradation, around 350,000 hectares of land (forest, agricultural and other production sector lands) will be brought under improved management practices, including through the application of improved SLM technologies at the farm level while several CBO/farmer leaders will be established to promote and demonstrate climate resilient SLM approach.
- For international waters, efforts will be implemented to curb land-based pollution, including solid waste, sewerage, wastewater, and agricultural waste from entering the waterbodies, and open burning avoided, will be continued (target to be assigned). This will benefit around 100,000 ha of marine habitats.
- On chemicals and waste management, a total of 300 tons of POPs containing products/materials will be removed or disposed while a comprehensive strategy to deal with all chemicals of global concern will be implemented together with an awareness and outreach strategy on sound chemicals management in all countries.
- For towns and cities, SGP will implement sustainable urban solutions related activities in at least 20 countries piloting at least 20 different urban solutions to address significant urban environmental issues from the community end.

81. Beyond the global environment benefits, SGP will deliver the following important results through the project:

- SGP interventions will directly impact 480,000 beneficiaries out of which 50% are female through enhanced capacities and improved livelihoods and lives

- SGP will support CSO-Government-Private Sector dialogues in at least 50 countries to have scaled up policy impact
- Under social inclusion, SGP will ensure that 30% of its projects are led by women, that at least 50% of all SGP beneficiaries are women
- At least 20 percent of relevant SGP country programs integrate appropriate models to engage youth and 15 percent of countries have targeted support for indigenous peoples;
- At least 15 countries will undertake south-south exchanges such that cross-fertilization and learnings between communities, CSOs and other partners are promoted;

82. The discussion in earlier sections on SGP strategic approaches and initiatives for GEF-7 describes an enhanced set of strategies to ensure that SGP contributes to GEBs at multiple levels, starting from the global level, prioritized at the national level through the CPS, and translated into small grant actions in the field. Firstly, SGP priorities will be fully aligned to that of the GEF-7 Programming Directions Paper and its outcomes to meet the GEF-7 targets. Secondly, greater attention will be focused to creating synergy among individual projects using landscape or seascape approaches, as well as taking all opportunities for complementation with larger projects of the GEF and other donor agencies. Thirdly, SGP local initiatives will link to global initiatives and platforms as well as fostering joint efforts with global networks. Finally, the implementation of “Grantmaker+” set of roles has been designed to support scaling up, mainstreaming and replication that will provide higher level capacity development (i.e. IP Fellowships), networking and institutional support, knowledge sharing (e.g. through South-South exchanges), and advocacy mechanisms at national levels (i.e. CSO-Government-Private Sector Dialogue Platforms), and where relevant, all of these to extend to regional and global levels.

83. In terms of results measurement, data will be captured at the project (grantee level) with each of the SGP projects electing results to measure from a roster of indicators including GEF-7 core indicators and socio-economic indicators. A strengthened database will support aggregating these results at the country level that will require timely entry of data on all projects. The annual country report produced from this will serve as a useful tool to benchmark overall progress of the country programme against the objectives set in the CPS, allowing each country programme to take appropriate and adaptive management decisions. At the global level, efforts will be made to track and report on progress on impacts achieved at the global programme level, by monitoring targets and indicators as indicated in the Results Frameworks. Annual Monitoring Reports will be prepared based on this data to assess the overall implementation and achievement of results of the global programme. In addition, SGP will produce global portfolio monitoring and thematic portfolio reviews including impact reviews as appropriate.

(ii) **Partnerships**

84. In GEF-7, SGP will strengthen partnership and synergies with organizations and initiatives, and aim to act as an integrator and community-based partnership platform to effectively empower and benefit CSOs and local communities at the global, regional, and local levels. SGP grants are never implemented in isolation but are rather embedded in a web of partnerships that extend from the local to the national to the global. SGP partnerships have increased broad-based support for global environmental and sustainable development approaches and policies. They have enabled capacity development and learning at different levels; leveraged both financial and technical resources to strengthen programmatic approaches as well as individual projects; and helped to ensure the sustainability of initiatives. SGP synergies with partners have allowed them access to SGP staff, resources, methodologies, tools, knowledge, and experience, making the partnerships mutually beneficial.

85. Partnerships with local and national governments, other donor programs and projects, the private sector, and CSOs and CBOs contribute in-kind or financial resources that allow SGP projects to fully cover sustainable development objects that are critical for their success. They have also provided financial resources

for essential programmatic activities that cannot be undertaken with GEF funds. SGP dedicates efforts to build strong partnership with specific national level organizations including Indigenous Peoples organizations as a successful targeting strategy to not only raise awareness about SGP project opportunities but to also coordinate strategic efforts in resource mobilization and policy impact.

86. In line with the partnership-based approach, SGP will work with international partners especially in the biodiversity area such as: (i) voluntary IUCN Commissions, including the World Commission on Protected Areas (WCPA), Commission on Ecosystem Management (CEM), and Species Survival Commission (SSC) which has a number of specialist sub-groups working on particular species; (ii) Global ICCA Consortium, a membership-based coalition of grass-roots CSOs working to support the objectives of the CBD; (iii) Birdlife International's network of site support groups (SSGs); (iv) Fauna and Flora International (FFI), active in supporting locally-managed marine areas; (v) The Nature Conservancy (TNC), including with respect to private protected areas and marine conservation area spatial planning ; as well as (vi) the Wildlife Conservation Society (WCS), who have strong comparative advantage in relation to baseline scientific assessments and wildlife monitoring techniques. In the climate change area, the alignment with NDCs will help bring SGP interventions to scale and integrate them into national energy and climate policies. Wider application of the CSO-Government- private sector dialogue instrument will also help initiate new partnerships and inform national policies. These larger initiatives will provide a platform for scaling up SGP work as well as possible co-financing and joint efforts in national and global planning and policy advocacy.

87. Within UNDP, collaboration will be explored with various community-oriented programs, including the Equator Initiative, Adaptation innovation small grants, and 'Lion's Share Fund' working with private sector companies that use threatened species as part of their logos and/or marketing campaigns. Partnerships may also be established with Medium or Full-Size GEF projects, either through UNDP and/or other accredited GEF agencies, in support of GEF7 Impact programmes, including for example with respect to the Sustainable Forest Management, the Sustainable Cities and the Food Systems, Land Use and Restoration impact programs. In this partnership approach, SGP will continue exploring opportunities to serve as a delivery mechanism for GEF full-sized projects as well as large projects and programs of other donors, funding facilities, and national governments. SGP achieves greater impact in GEF's focal areas by incorporating and expanding the community-based approach to the design and implementation of medium-sized or full-sized projects. In this regard, SGP will continue to build synergies and align interventions with other GEF Agencies and development partners including the World Bank, regional development banks, bilateral agencies, and international NGOs, to scale up successful innovative initiatives.

88. SGP will also strengthen partnerships with the private sector with an aim to scale up and cofinance successful initiatives with the aim to shift interventions from pilot innovations to the mainstream. SGP's partnership with the private sector includes joint efforts towards advocacy and policy making on specific environmental issues; providing project funding; providing expertise, technology, goods or services; and greening core business operations and value chains.

89. SGP is also collaborating with global and regional organizations, including foundations, NGOs, and Conservation Trust Funds, to leverage resources to implement and scale up community-based actions, in specific geographic regions and/or thematic areas. Many such collaborations are underway including with the MAVA Foundation, SOS-Sahel, with the Slow Food International and FAO Mountain Partnership on sustainable mountain products, with the Caribbean Biodiversity Fund (CBF) etc. In implementing these collaborations, SGP and the partnering organization commit parallel resources that are utilized to fund joint initiatives in the target countries, thereby achieving increased efficiency and synergy in scaling up successful community driven and innovative activities.

90. At a global level, SGP is developing partnerships with leading research institutions to inform the design and outcomes of small-scale energy investments to maximize impacts and sustainability as well as measure results effectively. Likewise, in sustainable chemicals management, SGP will seek to work with GEF GOLD program, UNEP, UNDP and others to ensure linkages and synergies of project activities in the field and facilitate sharing and learning. SGP will continue working with IPEN and Zero Mercury Working Group to promote local to global coalitions. SGP is also investing in exploring partnership for potential funding from the Green Climate Fund (GCF) for Indigenous Peoples. Building on the UNDP collaboration with Climate Justice Resilience Fund (CJRF) and Tebtebba on IPs engagement with GCF, SGP led a global consultation workshop at COP22, Marrakech (UNDP, Tebtebba, CJRF, partners) followed by several national level engagement with GCF National Designated Agencies (NDAs) in target countries. The aim is to motivate for a dedicated call for proposals for IPs while building capacity for IP organizations to access such funds.

91. Partnerships among SGP grantees and CSO partners over time yield networks that enable improved natural resource management, capacity development, knowledge exchange, policy advocacy, and sustainability of SGP and related initiatives. These networks expand SGP's reach, involving greater numbers of organizations and communities in activities related to SGP objectives, and lead to greater impacts through replication and policy influence. This has been highlighted as a key factor by the GEF IEO study on scaling up as for successful scaling up outcome.

(iii) *Risks management*

92. Given the wide presence on the ground in around 125 countries and over two decades of extensive experience applying appropriate, proven and adaptive approaches and tools at the community level, the likelihood of extreme risks to the programme is unlikely. SGP has in place mechanisms to ensure the early identification of potential risks and through established practices and experience, the programme can develop and implement risk mitigation measures in an efficient manner. Despite challenges of working mostly with remote, community-based and non-governmental organizations with low level of technical and management capacities, SGP has consistently ensured that more than 90 percent of its grants achieve planned outcomes successfully. This is unprecedented and is a testament to SGP's tested model of dedicated emphasis on developing grantee capacity as an integral part of SGP grant portfolio management. UNOPS provides a neutral financial oversight thereby further reducing the financial risks.

93. Beyond that, SGP also reduces risk by supporting replication and re-validation of good practices that have proven to deliver on GEF strategic priorities at the community level. In each country, the National Steering Committee, with representation from civil society leaders, government institutions, and donors provides further support for effective design and implementation of SGP projects. Some additional risks may be anticipated from the increased geographic coverage of SGP, as new eligible countries join the SGP, especially in countries with post conflict situations, capacity challenges, etc. SGP grant maker plus approaches have been especially designed to mitigate such risks by allowing greater flexibility and efficient response in SGP programming at the country level.

94. From experience, the most likely risks faced by SGP projects is the exposure and the need to adapt to weather extremes. In fact, many projects which were designed to develop tools and measures to adapt to these extremes as surrogate to what could be increased impacts of climate change are now part of routine programming directions for the SGP. For instance, SGP community projects draw on lessons and tools developed through its Community-Based Adaptation (CBA) projects to integrate climate change adaptation measures, including required vulnerability assessments and the inclusion of effective measures generated by communities in similar situations. SGP is less affected by social risks as SGP grant-making is demand-driven and community-based. As such, each project, by community design and commitment, is developed not only to meet environmental objectives but also the social, cultural and economic needs of its members, a de-facto

prior informed consent, for community proponents including indigenous peoples. In addition, it may be noted that SGP NSCs that review project proposals have obligatory requirements to include focal points for gender and women empowerment, for youth, and where relevant for IPs, to ensure that key concerns and needs of these sectors are fully considered. The detailed listing of the potential risks is provided in Annex 3.

95. UNDP has also developed its Social and Environmental Standards (SES) and accompanying Social and Environmental Screening Procedures (SESP). SGP has applied the UNDP's SESP to the design of this Project Document, as required by the SESP procedures of UNDP. The SESP identified moderate social and environmental risks for this project that would have potential negative impacts in the absence of safeguards (see Annex 4). The review of social and environmental safeguards is also required during the process of review and approval of SGP Country Programme Strategies (CPS). The SGP CPS inform the strategic and operational implementation of the SGP grant making at the country level. SGP will implement specific actions to ensure that the potential negative social and environmental impacts of the project are addressed adequately. For instance, to ensure gender equality, the SGP will consider gender throughout the design and implementation of activities within SGP's 7th operational phase. SGP will prioritize work with women's groups, particularly those involving poorer and more vulnerable women. The SGP Central Programme Management Team (CPMT) will continue to issue gender mainstreaming guidance, and gender checklists which will be used by National Steering Committees at project approval stage. SGP will also monitor gender mainstreaming by country programmes on an annual basis as part of its Annual Monitoring Report (AMR) preparation. Additionally, during the selection of landscape/seascape for SGP grant making focus, consultations with community groups and NGOs will take place in ways that ensure women's meaningful participation. Beyond that, SGP requires each National Steering Committee (NSC) to have a designated Gender focal point responsible for screening selected grant projects in terms of their gender considerations and to ensure women's participation during implementation. With respect to environmental sustainability, SGP finances community organizations to design and implement sustainable development projects that produce global environmental benefits while also supporting local development and sustainable livelihoods. Given inherent links between environmental sustainability and livelihood and lives for rural areas where SGP's grant programming predominantly operate, the SGP programme integrates environmental sustainability naturally and easily into its programme and operations. The SGP project will enable "communities as solution providers and key partners to address the drivers of global environmental degradation and engine for systemic change" by promoting and supporting innovative and strategic initiatives at the local level to address global environment issues in priority landscapes and seascapes.

96. In line with UNDP standard procedures, the SGP will employ its multi-stakeholder governance framework at the country level to provide a **grievance redress mechanism** (GRM) that would address project affected persons' (PAP) grievances, complaints, and suggestions. The NSC led grievance mechanism will: (i) receive and address concerns, complaints, emerging situations or conflicts, grievances and any harm arising from the project; (ii) assist in resolution of grievances between and among stakeholders, including project implementing agencies; and (iii) ensure flexibility, transparency and collaboration with the aim of problem solving and consensus building. The CPMT will provide guidance and management support to the NSCs in discharging these functions. The SGP grant-making approach of focusing on landscape and seascape allows frequent visits to clustered projects and risks can be regularly monitored and mitigated. SGP also plans to strengthen its Technical Advisory Groups (TAGs) to include those experts that can advise on risk assessments and management at both project design and implementation stages. The system of grant-making will also provide for capable assisting NGOs to support first-time community and CBO implementers. Given all the above checks and balances in place, the potential risk of any negative social and environment impact of SGP projects is expected to be extremely low.

(iv) *Stakeholder engagement plan*

97. SGP operates through a multi-stakeholder approach engaging a range of stakeholders including NGOs, CBOs, indigenous peoples, the private sector, government, academia, and donor partners. Civil society organizations (CSOs) will be both beneficiaries and direct participants in SGP through their inclusion in NSCs, where non-governmental members must be in the majority, as well as by taking on the role as National Host Institutions (NHIs) and other key roles related to knowledge sharing and policy advocacy. Although grants are targeted towards CSOs particularly community-based and non-governmental organizations, a broad range of stakeholders are engaged as active partners in program management and during grant implementation, including inter alia research institutes, local and municipal governments, international NGOs, as well as national and international volunteers.

98. SGP has pioneered numerous user-friendly, accessible modalities to work with poor and marginalized groups including alternative proposal formats such as participatory video, photo stories, community theatre, and allowance are made available for concept and project submission in local and vernacular languages. SGP also allows for flexible disbursement terms to cope with indigenous peoples' culture, customs and seasonal movements. SGP makes extra efforts to reach out people and groups that are often marginalized or disadvantaged, including through the use of planning grants that facilitate development of full proposals and through the use of alternative proposal formats (e.g. video, photo stories) to improve access to SGP projects from these groups. Regarding gender, indigenous peoples, youth, and persons with disabilities (PWD), SGP has developed a guideline document on each and follows a set of principles that advocate for a flexible, time sensitive, and simple project cycle to allow these groups to access SGP support. SGP NSC at the country program level designated focal points for gender and youth to ensure their voices are heard. Additionally, through stakeholder workshops, communication through mass media and targeted outreach by the NC in respective countries, CSOs can learn of SGP projects and activities and provide inputs on how to improve on them. In fact, an independent consultant review⁷ confirm that, since SGP inception, support to indigenous peoples constitute at least 30 percent of the SGP portfolio in 90 countries with Indigenous Peoples. The review reports that SGP support to IPs have remained significant and relatively stable or growing over time, with IPs and their organizations are managing over half of their SGP project or portfolio.

99. As for the private sector, SGP will include mechanisms for engaging with private sector through both targeted platforms such as the CSO-Government-Private sector dialogues and through regular grant projects by fostering enhanced involvement of private sector through public-private partnership and other means. In line with the GEF 7 Programming Directions emphasis on engagement with the private sector, SGP will enhance its engagement explore opportunities to engage with private sector through a number of ways: by developing a private sector strategy by reviewing past and existing portfolio and analyze potential ways to enhance engagement with private sectors: including engagement at the local/national level to influence businesses toward sustainable practices and options that generate multiple environmental benefits; and explore potential opportunities for finance and technical support that can help scale up SGP innovations. SGP projects at the local and national levels are designed to provide community-based solutions to complex environmental problems. Given the inter-related and integrated nature of such environmental problems, engagement with and partnership with a wide variety of stakeholders and actors including the private sector will be important if the programme is to effect meaningful and transformative change – be this through transforming policies and regulatory frameworks or through building capacities at the community level. SGP will include mechanisms for engaging with private sector through both targeted platforms such as the CSO-Government-Private sector dialogues and through regular grant projects by fostering enhanced involvement of private sector through public-private partnership and other means. unstructured means such as by sharing information on SGP operations widely and facilitating private sector-grantee linkages. Please also see section 4 below for a detailed consideration of how SGP will engage with the private sector.

⁷ Laura Ledwith (2019). Strengthening GEF SP support to Indigenous Peoples: A review of SGP's 25-year portfolio

100. In GEF-7, SGP projects will give more attention to the promotion and support of innovative and scalable initiatives at the local level to address global environment issues in priority landscapes and seascapes. It also will support those projects that could serve as incubators of innovation, with the potential for broader replication of successful approaches through larger projects supported by the GEF and/or other partners. In this context, SGP will strengthen its partnership approach as a CSO-led multi-stakeholder platform by working closely with the private sector and with governments. With this aim, in GEF-7, SGP will expand its innovative CSO-Government Dialogue Platform toward greater engagement of the private sector to leverage its potential to invest and support sustainability at the local level, including businesses relating to tourism, agriculture, forest and other relevant sectors. These platforms will provide opportunities to discuss possible shifts in relevant policies and practices to promote sustainability.

101. Engagement with the private sector will be explored across all the thematic areas. For instance, in the agriculture and food, SGP will foster partnerships with the private sector and other stakeholders to explore innovative, affordable, and practical solutions to chemicals and waste management while also seeking to establish systems of local producer and/or product certification as an initial step toward expanding to producer-consumer agreements – a process in which the private sector should be fully engaged with. Likewise, in the climate change thematic area, the role of the private sector is critical in ensuring the sustainability and affordability of low carbon technologies promoted at the community-level and similarly private sector partnership and support will be crucial for delivering the GEF-7 Strategic Initiative on catalyzing sustainable urban solutions. In biodiversity, SGP projects will explore opportunities to engage with private sector in supporting community-based eco-tourism activities to generate incentives to local communities for managing and conserving biodiversity. Private sector involvement is also important under the sustainable agriculture, fisheries and food security Strategic Initiative. SGP country programs will explore opportunities to link smallholder producers and pastoralists to markets and technologies. Finally, under the chemicals thematic area, SGP country programs will work with other national and local stakeholders to identify and support exploration of incentives for private sector involvement to sustainably eliminate chemicals. To this end, SGP will strive to share information on its operations in respective countries widely with the private sector and explore opportunities for cooperation.

102. At the start of each new SGP operational phase, the SGP Operational Guidelines requires each country programme to prepare a detailed programming and strategic document entitled the Country Programme Strategy (CPS). The CPS will facilitate a wide range of consultations during the process of its preparation. Such consultations will consider both institutional stakeholders in the context of their involvement in the project (such as the Government and UNDP Country Office) and also more broadly for non-governmental stakeholders and prospective beneficiaries (civil society and community-based organizations). A series of meetings and workshops will be conducted to discuss the overall strategy for grant making during GEF-7 and importantly reach general consensus on key country programme outcomes, outputs, activities and institutional arrangements for the country programme.

103. The table below provides a broad description of the role and responsibilities of key SGP stakeholders and their involvement mechanisms and strategies. Mechanisms and strategies for stakeholder involvement will ensure that the relevant shareholders receive and share information and provide their inputs in the planning, design, implementation, monitoring and evaluation of grant projects and as appropriate play a role in sustaining the initiatives during and at the end of the grant project period and the closure of overall grant making.

Table: Major Stakeholders, mandate and role in SGP

Key Stakeholder	Responsibilities / mandate	Proposed role in SGP
UNDP NCE	The UNDP Nature, Climate and Energy Unit partners with environmental vertical funds to	UNDP is the GEF implementing agency and as such assumes overall accountability to the GEF for the

	support countries with simultaneous eradication of poverty and significant reduction of inequalities and exclusion, by catalyzing environmental finance for sustainable development. The Unit provides programming and implementation support services.	meeting the project objectives and sound financial management of GEF resources. UNDP chairs the project board and provides oversight to the SGP operations.
SGP CPMT	The SGP Central Programme Management Team (CPMT) is a specialized programme and management team established at the UNDP HQ responsible for the strategic management of the SGP global programme. CPMT has overall responsibility for supervising the SGP Country Programme and for the technical and substantive quality of SGP country portfolios, coordinating KM and M&E activities, mobilize resources and facilitate partnerships for effective programme operation.	CPMT develops global strategy, guidelines and standards in the development of SGP projects with the objective of ensuring effective and efficient programme operation globally in over 110 countries. CPMT supervises SGP National Coordinators on both technical and managerial issues of programme operation, and facilitates the start-up of new Country Programmes.
UNOPS	UNOPS supports successful implementation of its partners' peacebuilding, humanitarian and development projects around the world. The UNOPS Grant Management Services (GMS) is a one-stop shop for managing environmental programmes and projects through grants.	As the UNDP implementing partner, UNOPS provides execution services to the SGP, assuming full responsibility and accountability for the use of SGP project resources. UNOPS is a member of the Project Board and provides programme execution services including administrative, financial, legal, operational, and procurement for the SGP.
UNDP Country Office (CO)	UNDP COs are located in more than 170 countries. They provide oversight functions for UNDP vertical fund projects and programs. The UNDP CO is the primary conduit through which UNDP engages with the host government and other national entities.	UNDP CO provide support for SGP start-up, recruitment of national coordinators, local supervisions, and resource mobilization. UNDP CO is an institutional member of the NSC and also provide, as per request by and as agreed with UNOPS, any needed operational oversight for the SGP Country Programme.
GEF Operational Focal Point (OFP)	The GEF OFP is the designated focal point of the Government in the country, responsible for coordinating GEF programming and makes key decisions on the national ownership and determination of allocation of GEF resources (STAR).	The GEF OFP is the other institutional member of the NSC for the SGP. The OFP is kept abreast of the SGP operations in the country by the NSC and the National Coordinator through sharing of progress reports and other communication.
National Steering Committee (NSC)	In each SGP country, a multi-sectoral NSC is composed of government representatives and majority nongovernmental membership to reflect the program's mandated focus for CSO capacity building. UNDP and GEF OFP are the only institutional members. All other NSC members perform their role in their individual capacity.	The NSC will provide overall country guidance and provide direct linkages to national policymaking, development planning, knowledge dissemination, and leveraging of SGP's catalytic role. The NSC is responsible for selecting and approving projects, and for ensuring their technical and substantive quality by providing necessary implementation advice and monitoring function.
Government agencies and ministries	Several Government agencies including the Ministries of Planning, Agriculture, Environment, Rural Development, Women's Affairs etc. may have a remit for SGP activities in the country	SGP will collaborate in grant making procedures and activities with other allied government agencies as appropriate to identify gaps, priority issues and solutions for sustainable environmental management issues in the country. SGP will partner with such agencies in providing consultations, information and experiences and also explore support in upscaling, dissemination and application of best practices and lessons learned.
Academic institutions	In many SGP countries, academic institutions are the primary source for technical know-how,	SGP will collaborate as appropriate with the Academia to identify, design and deliver capacity building initiatives in environmentally friendly

	knowledge management and capacity building opportunities.	approaches and practices. Certain academic members may also participate as members of the Technical Advisory Group and NSC.
Civil Society and community- based organizations (CSOs and CBOs)	Civil society organizations and local communities are custodians, primary users and managers of the environmental resources and key beneficiaries and target groups for all activities of the SGP.	CSOs and CBOs will participate in the implementation of project activities through access to SGP grants and participation in the decision making of the SGP. They are the direct beneficiaries of project investments.
Indigenous Peoples	Indigenous Peoples have distinct history, traditions, and diverse material lives. Mainly they rely on natural resources, especially forests, for their livelihoods.	Indigenous Peoples will directly participate in decision making processes related to specific interventions that relate to their lands and resources. Moreover, SGP interventions will support capacity building, implementation of livelihood and in benefit sharing for indigenous peoples.
Media	Media has the responsibility for the dissemination of information and awareness on policies, strategies and plans to the general public at the national and regional level through traditional and social media.	Partnerships with key media organizations will support dissemination of information at global, regional and national levels, including on SGP interventions, grant making announcements (CfP), training and capacity building events as well as results and best practices.
Development Partners	A number of development partners including bilateral and multilateral development agencies are usually present in specific SGP countries.	SGP will engage relevant development partners as partners to facilitate coordination and collaboration while, as appropriate, exploring opportunities for cost-sharing and co-finance opportunities.
Private Sector	SGP will engage private sector as much as possible. The private sector will involve in the development and implementation of sustainable natural resource-based enterprises and other initiatives.	SGP will develop a private sector engagement strategy under GEF-7. Among others, private sector collaboration will be explored in community-based business or partnership opportunities e.g. in the implementation of and support to responsible tourism initiatives, community-based waste management, agri-food processing and post-harvest value addition, linkage to markets etc.

Initiatives to ensure stakeholder engagement

104. The following initiatives at the global and country level will ensure stakeholder engagement in the project. At the global and regional levels, multi-stakeholder workshops will be organized with the purpose to develop common strategy and understanding amongst global stakeholders of the project including the various teams among partners, UNDP and UNOPS. At the country level, a communication initiative will facilitate awareness, review and informing of policy, stakeholder participation and documentation of best practices related to the SGP in the country. The new phase of the SGP will effectively be launched with the Call for Proposals (CfP), a process by which SGP publicizes the opportunity for SGP grants through various means including through traditional and social media. The meetings of the NSC are important opportunities for engagement of the main stakeholders with agenda items that discuss achievements, challenges faced, corrective steps that should be taken etc. At such meetings, progress on planned grant making activities are also shared.

105. As for engagement of local communities, this is SGP's forte. SGP will employ a highly participatory approach to facilitate the involvement and participation of local communities, either as groups through their CBOs or represented by CSOs/NGOs that represent their interests particularly through the consultative country programme strategy development, capacity development workshops, outreach and communication activities. SGP will ensure the inclusion of both men and women in the planning and implementation of the grant activities. SGP will also continue to employ the proven capacity building approaches to ensure greater

participation while also continue to adopt innovative and accessible forms of project grant templates (e.g. grant proposals through recorded form) to maximize participation.

(v) *Gender equality and Women's Empowerment*

106. An internal review carried out as part of the AMR reporting to assess gender equality and women's empowerment in its portfolio during the GEF-6 period showed that 82% of total SGP projects completed were reported to be gender responsive, while at least 30% of completed projects were led by women. The UNDP publication "Evaluation of UNDP's Contribution to Gender Equality and Women's Empowerment, 2015"⁸ report that (i) the majority of the SGP Country Programme Strategies mention practical steps to promote gender in SGP projects; (ii) the majority of stakeholders of SGP at the national level (60%) find that the SGP grant selection process includes consideration of gender equality to a great extent and 47% find that grants have effectively contributed to gender equality and women's empowerment; (iii) NCs and NSCs are perceived to have some level of gender expertise; and (iv) actual results on the ground are evident and half of the projects were found to have benefitted women and men equally, or to have disproportionately benefitted women. Many other projects benefitted women, although not to the same extent as men.

107. SGP will build on these strong results to deliver concrete gender outcomes by reviewing and enhancing its gender strategy and guideline for program and project operation. This could include reviewing strategy to enhance gender equality in SGP governance (e.g. National Steering Committee and Country Program team composition), and grant selection and management. SGP will also fully roll out the GEF Gender Implementation Strategy in the grant-making process, the four action areas. At the portfolio level, SGP will measure and report on the GEF gender tags such as: (a) contributing to closing gender gaps in access to and control over resources; (b) improving the participation and decision-making of women in natural resource governance; and (c) targeting socio-economic benefits and services for women. The current project has established targets for these gender tags (please see table B).

108. Furthermore, SGP has been an active member of the GEF Gender Partnership, contributing to the review of gender indicators and the gender policy. The GEF Gender Partnership launched the first online course on gender and environment during the 5th GEF assembly in June 2018. During the project, SGP will expand the online course to offer modules in French and Spanish. This was also recognized by the GEF IEO (OPS Sub-study) on "Evaluation of Gender Mainstreaming in the GEF 2017"⁹ which noted that the important SGP contribution to gender equality, specifically, the design and roll out of the e-learning on gender and environment to support capacity development in agencies and partners. In addition, SGP will also pilot a focused innovation programme on women entrepreneurship¹⁰ with the objective to upgrade and expand existing green women-led enterprises for wider replication and scale up. This programme will provide women-led enterprises with business management training, technical training, product development and design, business counselling, marketing assistance, finance facilitation and business networking and business linkages.

(vi) *Innovativeness, Sustainability and Potential for Scaling Up*

109. *Innovation* is a cross cutting thread across SGP's interventions; innovation is not just as an integrated approach for project execution but is also a key result. The micro, and local nature of SGP projects, lends feasibility to undertake risk, and experiment with pilot development- as a test and trial for effective and efficient community led solutions that work in a given context, or may have broader scaling up potential and replicability. A demand driven approach, combined with flexibility, accessibility, and risk taking constitute SGP

⁸ <https://erc.undp.org/evaluation/evaluations/detail/7076>

⁹ <http://www.gefio.org/evaluations/evaluation-gender-mainstreaming-gef-2017>

¹⁰ According to the ILO (2009), enterprise development can make a significant contribution to women's empowerment and gender equality and has a key role in gender strategies.

as an incubator of innovation. SGP has developed a standardized innovation measure for a project. These include: (a) distinct way to discern the problem; (b) reorganized (and often better) use of available resources; (c) unique ways to connect; (d) incremental revolutionary conception; (e) original creation; (f) and powering local innovators. Thus, SGP's approach encourages local innovation and creativity through its bottom-up and participatory practice in the design of projects, in the recognition of the relevance and value of local or traditional knowledge, and in allowing greater flexibility and adaptive management of projects.

110. Community innovations in SGP are manifested in the testing and ground-truthing of low-cost technologies and sustainable production methods, in new methodologies for the involvement of stakeholders, and in integrating traditional decision-making processes within the wider frameworks and actions relevant to meeting country commitments to international environmental agreements. Since SGP funding is modest and its interventions are designed to be initially small scale, the programme can readily support community-based experimentation. Once a novel idea has been tested on the ground and proven to be effective in meeting community needs, it can often take off more widely through grantee networks as well as networking with other CSOs, further resulting in more innovations and eventually attracting additional donor and or government support for wider application. This innovation process is supported through digital library of community innovations, building on the tens of thousands of SGP-supported projects, as well as a South-South Community Innovation Exchange Platform to share these innovations across countries.

111. To encourage innovation within the portfolio, and to fully explore the potential of SGP to be an incubator, the programme will track such innovation results in terms of the invention of product, service or process, leveraging local assets and resources, relevance to local unmet needs, potential of scaling up/replication. Building on recommendations to collect and aggregate common standardized measures across SGP projects, during the GEF-7, SGP will implement the initial piloting of a measurement called the SGP Innovation Meter. This measure will cover different types of innovations, including disruptive and sustaining/ incremental innovations that SGP is involved. It will measure innovation both from the standpoint of the coverage of the portfolio and also the depth of innovation in the portfolio. In addition, SGP will continue with the design and implementation of Innovation Programs with interested and relevant SGP Country Programmes to emerging environmental issues for scaling up and/or pilot innovative approaches and tools on specific thematic issues. Knowledge management and leveraging resources will retain prominence in the Innovation Programs.

112. Achieving *sustainability* of project outcomes is central to SGP. According to IEO Joint Evaluation in 2015, SGP has secured a high success rate in sustaining project results. Project proponents are required to build measures into their project design that increase the likelihood of outcome sustainability, including through the development of an appropriate exit strategy. The screening of project proposals by the National Steering Committee (NSC) includes a systematic assessment of whether such measures are sound and based on realistic assumptions. Project logical frameworks include outcome indicators that are monitored periodically. Project monitoring activities are designed to verify that initial assumptions hold, and that the required elements for outcome sustainability are in place. Most grants include a capacity development component and a sustainable livelihoods component to ensure that achievements will be sustained at the smallholder and resource-user level. Proactive adaptive management is applied throughout the life of the projects by the National Coordinator (NC) who works with SGP grantees to take corrective action whenever there are indications that project outcomes may be compromised or may not be sustained after the project ends. SGP does not generally support the creation of new organizations, but rather strengthens existing CBOs and NGOs.

113. Although most communities continue applying acquired skills in their day-to-day work, SGP ensures retention of new skills through various means: (i) inviting leaders or members of former grantee organizations to new training; (ii) using former SGP grantees as trainers for other communities and projects; (iii) continuing monitoring former grantees and trouble-shooting as much as possible; and (iv) establishing mentoring and peer-to-peer support among communities. Ultimately, the sustainability of SGP projects results from the strong

ownership of the community or CSO grantee-partners to the actions taken and resulting outcomes, the empowerment built in the process of implementation, and the fact that these projects are meeting their most important needs particularly for sustainable livelihoods. SGP's Grantmakers Plus initiatives is specifically geared towards sustainability and will promote an enabling environment to scale up the impacts of SGP Strategic Initiatives, nationally and globally, through networking and knowledge exchange.

114. With regards to *scaling up*, the majority of SGP innovations have scaling up potential. This is emblematic in the fact that among the 60 cases¹¹ assessed for a study by the GEF IEO¹² in 2019 for evaluating scaling up in GEF, 14 consisted of SGP projects. This is because successful SGP projects are solutions that are relevant to a thousand-fold more communities under similar situations within the country of implementation, and across other countries. Community-based approaches are inherently more cost-effective in their utilization of existing resources and hitherto untapped resources thereby providing a good model for larger projects concerned with efficiency and sustainability. The highly consultative and participatory processes, including the direct access to funds, practiced in SGP projects, can provide valuable lessons for larger government and donor programs. Notable too is the global reach of SGP – 125 participating countries – which combined with good sharing systems, can scale up, mainstream, and replicate successful community projects. Moreover, as pointed out by the GEF IEO study, UNDP-SGP “structure is particularly conducive for interactions” [frequent interactions to exchange knowledge and information] due to its unique structure, at the country level, SGP's long term and local presence, commitment to building multi-stakeholder networks, are crucial factors for scaling up success.

115. Scaling up, as well as mainstreaming and replication, however, are processes that require a proactive approach and additional resources especially for communities and CSOs that have only recently completed their first projects. SGP's main role in the scaling up process is to demonstrate or showcase the successful innovation to a wider set of stakeholders, as well as to establish networks/linkages for pooling of effort and resources by various actors. At the portfolio level, SGP has utilized its NSCs, grantee-partner networks and allied CSO networks to have community innovations and successes recognized and adopted at the national level by policy-makers.

116. SGP will also encourage strong partnerships with the private sector to commercialize successful projects with the aim to shift renewable energy projects from pilot innovations to the mainstream. This will be achieved through, but not limited to, the CSO-Government-Private Sector dialogue platforms. The Grant Maker Plus funds that support such CSO-government dialogues was recognized by the IEO study as enabling SGP country programs to provide a platform for stakeholders to reflect on issues such as how implementation at the higher scale could be adapted to improve outcomes.

¹¹ Cases (projects) were selected for assessment based on their degrees of quantitative and qualitative information on scaling up outcomes. Additionally, the review identified 65 cases in 50 countries where some extent of scaling up in SGP projects had occurred.

¹² GEF IEO (2019). Evaluation of GEF Support to Scaling up Impact. 56th GEF Council Meeting Document. Washington, DC

IV. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): Goals 7, 13, 14, 15, 17				
This project will contribute to the following UNDP SP Outputs: 1.4.1; 2.1.1; 1.5.1; 2.5.1; 3.4.1				
	Objective and Outcome Indicators	End of Project Target	Verification Means	Assumptions
Project Objective:	Mandatory Indicator 1: # direct project beneficiaries disaggregated by gender (individual people)	240,000 (male) 240,000 (female)	Annual Monitoring Report (AMR)	All countries are incorporating social inclusion areas as part of CPS design and implementation
	Mandatory Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people)	700,000		
Project component 1	Community-based conservation of threatened ecosystems and species			
Outcome 1 - Community-based models and biodiversity friendly practices and approaches promoted for conservation and sustainable use of threatened ecosystems and species in important terrestrial and coastal/ marine ecosystems	Indicator 3: Area of landscapes under improved management to benefit biodiversity (hectares) (GEF core indicator 4.1)	2,700,000 ha	AMR Grantee Monitoring Report Impact reviews SGP database	Mobilized multi-stakeholder support for the landscape/seascape approach (including the government, local CSOs/CBOs, NSCs) Technical support provided, along with capacities, to facilitate the landscape/ seascape approach
	Indicator 4: Marine protected areas under improved management effectiveness (hectares) (GEF core indicator 2.2)	100,000 ha		
	Indicator 5: Area of marine habitat under improved practices to benefit biodiversity (hectares; excluding protected areas) (GEF core indicator 5)	120,000 ha		
Outputs to achieve Outcome 1	Output 1.1: Community-based NRM measures that integrate biodiversity and sustainable community use including management and governance of PAs and ICCAs developed Output 1.2: Sustainable biodiversity friendly community oriented natural resources-based enterprises and sustainable livelihood activities supported Output 1.3: Community-based measures supporting improved management of PAs including ICCAs promoted among PA adjacent communities and within ICCAs			
Project component 2	Sustainable agriculture and fisheries, and food security			
Outcome 2 - Climate-smart integrated practices improve productivity, food security, and livelihoods of smallholder farmers and supports achievement of national LDN targets.	Indicator 6: Area of landscapes under sustainable land management in production systems (hectares) including fisheries (GEF core indicator 4.3)	350,000 ha	AMR Grantee Monitoring Report Impact reviews SGP database	Landscapes address a production system Collaboration with full-sized projects to support vertical linkages for sustainable agriculture and fisheries, and food security
	Indicator 7: Area of degraded agricultural lands restored (hectares) (GEF core indicator 3.1)	200,000 ha		
	Indicator 8: Number of SGP countries supporting linkages and partnerships for sustainable food production practices (such as diversification and sustainable intensification) and supply chain management including in sustainable fisheries management	50 countries		
Outputs to achieve Outcome 2	Output 2.1: Community level SLM actions that reduce land degradation, support restoration and aligned with national LDN targets Output 2.2: Climate-resilient SLM technologies adapted to local conditions implemented Output 2.3: Guidelines and best practices on SLM technologies developed and disseminated Output 2.4: Viable linkages and value-chain improvement initiatives that enhance production and enhance income supported			
Project component 3	Low-carbon energy access co-benefits			
Outcome 3 - Low carbon, viable and appropriate technologies and approaches demonstrated and	Indicator 9: Increase in installed renewable energy capacity from local technologies (e.g. on types of renewable energy technology biomass, small hydro, solar).	350KW	AMR	Communities and CSOs have innovative and implementation capacity

deployed across sectors. Initiatives scaled up that improve community energy access and build a low carbon infrastructure in line with larger national frameworks such as SDGs and NDCs.	Indicator 10: Number of typologies of community-oriented, locally adapted energy access solutions with successful demonstrations or scaling up and replication	60 local energy access solutions	Grantee Monitoring Report Impact reviews SGP database	
	Indicator 11: Hectares of forests and non-forest lands with restoration and enhancement of carbon stocks initiated.	18,000 hectares		
Outputs to achieve Outcome 3	Output 3.1: Low-cost bottom-up energy solutions promoted including measures to reduce forest degradation and deforestation Output 3.2: Community innovations, including technologies for low carbon energy options including financing opportunities documented Output 3.3: Capacity building and transfer of knowledge for effective deployment of low carbon, sustainable energy solutions at community level			
Project component 4	Local to global coalitions for chemicals and waste management			
Outcome 4 - Innovative community-based tools and approaches demonstrated, deployed and transferred. Organize and strengthen multi-stakeholder coalitions with support from sound chemicals and waste management platforms.	Indicator 12: Quantity of POPs/Mercury containing materials and products directly avoided (GEF core indicator 9.6)	300 tons	AMR, SGP database Grantee Monitoring Report Impact reviews SGP database	Issue buy-in existing at communities and CSO level in a given context
	Indicator 13: Number of local to global coalitions and networks established and/or strengthened (e.g. IPEN and Zero Mercury Working Group)	2 coalitions		
	Indicator 14: Number of SGP countries working on increasing awareness and outreach for sound chemicals, waste and mercury management.	50 countries		
Outputs to achieve Outcome 4	Output 4.1: Community-based innovative, affordable and practical solutions to chemicals and waste management supported Output 4.2: Consolidation of efforts on pesticide management, waste management, and mercury to promote local to global coalitions and networks Output 4.3: Community-level artisanal and small-scale gold mining in reducing/eliminating use of mercury demonstrated			
Project component 5	Catalyzing sustainable urban solutions			
Outcome 5 - Appropriate integrated community-oriented sustainable urban solutions in partnership with government and private sector. These may often be first time innovations and are administered with a socially inclusive lens.	Indicator 15: Number of SGP countries with improved capacities to promote community-driven integrated solutions for low-emission and resilient urban development.	25 countries	AMR, SGP database Annual Country Monitoring Report	Synergize efforts with Global Platform for Sustainable Cities (GPSC) Identified pockets of geographic areas or thematic issues to focus on (in the absence of landscape/ seascape approach here)
	Indicator 16: Number of community-based urban solutions/ approaches (including chemical and waste management, energy, transport, watershed protection, ecosystem services and biodiversity) deployed.	25 urban solutions		
Outputs to achieve Outcome 5	Output 5.1: Integrated community-oriented sustainable urban solutions in partnership with private sector and government identified and implemented Output 5.2: Capacity building for key service providers and local communities on low-emission and resilient urban development solutions			
Project component 6	Supporting broader adoption of community impact and innovation			
Outcome 6 - CSO-Government-Private Sector Policy and Planning Dialogue Platforms promote community voices and participation in global, national and sub- national policy/strategy development on global environment and sustainable development issues.	Indicator 17: Number of high-level policy changes attributed to increased community representation through the CSO-government-private sector dialogues.	At least 50% of countries reporting significant policy outcomes	AMR, Annual Country Monitoring Report, Country impact reviews	Government responds to consultative processes Dialogues/ Exchanges undertaken in mature SGP country programmes/ countries with advanced community results
	Indicator 18: Number of representatives from social inclusion group (indigenous people, women, youth, persons with disability, farmers, other marginalized groups) supported with meaningful participation in dialogue platforms.	2 representatives from social inclusion groups per dialogue platform		

Outcome 7 - South-South Exchange promoted to broker knowledge, build capacities and facilitate partnerships between communities, CSOs and other partners across countries on global environmental issues.	Indicator 19: Number of countries reporting adoption of improved practices or approaches as a result of South- South exchanges between communities, CSOs and other partners across countries.	20 countries		
	Indicator 20: Number of south- south exchanges at global and regional levels to transfer knowledge, replicate technology, tools and approaches on global environmental issues.	30 south-south exchanges		
Outputs to achieve Outcome 6 and 7	Output 6.1: National-level targeted CSO-Government dialogues Output 6.2: Global CSO-government and other stakeholder dialogues Output 7.1: South-south exchanges identified, supported and documented			
Project component 7	Promoting social inclusion			
Outcome 8: Social inclusion, particularly empowerment of women, indigenous peoples, youth and people with disabilities, is mainstreamed and enhanced in SGP programming on environment and livelihood improvement	Indicator 21a: Number of SGP projects led by women.	30% of SGP portfolio	AMR Annual Country Monitoring Report SGP database	Social and Environmental Standards are incorporated at country and project levels; Country programme level management, in particular National Steering Committees, reflect a socially inclusive model. Marginalized groups such as the youth and the disabled people are aware of and interested in working with SGP
	Indicator 21b.: Number of projects contributing to closing gender gaps related to access to and control over natural resources	20% SGP portfolio		
	Indicator c: Number of projects that improve the participation and decision-making of women in natural resource governance	30% SGP portfolio		
	Indicator 21d: Number of projects that target socio-economic benefits and services for women	70% SGP portfolio		
	Indicator 22: Number of SGP countries that have targeted support for Indigenous Peoples in terms of country level programming and management.	20% of SGP country programmes		
	Indicator 23: Number of SGP countries that demonstrate appropriate models of engaging youth and for persons with disability.	15% of SGP country programmes for each group		
Outputs to achieve Outcome 8	Output 8.1: Increased involvement and active participation and empowerment of women, indigenous peoples, youth and persons with disabilities mainstreamed in SGP initiatives Output 8.2: Expanded Indigenous Peoples’ Fellowship Program implemented Output 8.3: Guidelines and best practices on engaging youth and persons with disabilities will be developed and widely shared			
Project Component 8	Monitoring & evaluation and Knowledge management			
Outcome 9 - A common, robust M&E strategy is developed and implemented in all countries at all levels (project, country and global)-establishing transparency, coherence and evidence-based decision making.	Indicator 24: Number of SGP country teams administering results management modalities in programme design, implementation and overall decision making using participatory mechanisms.	All SGP countries	AMR Annual Country Monitoring Report SGP database	Adequate availability of resources. M&E capacities built across global, country and project levels. Mechanisms of quality assurance and methodologically-sound thought production in place.
	Indicator 25: Number of country/cross-country impact reviews undertaken that generate evidence of SGP impact and lessons learnt.	3 impact reviews		
Outcome 10 - Networking and knowledge sharing leverage local actions for global change to safeguard global environment	Indicator 26: Number of SGP countries using citizen-based knowledge platform (digital library of community innovations) to document and curate community-based solutions to environment issues. Indicator 27: Number of knowledge fairs	All SGP countries	SGP intranet AMR	Access to internet connectivity is available. Communities and CSOs have capacity to curate their knowledge.
Outputs to achieve outcome 9 and 10	Output 9.1: SGP M&E system deployed at country and project levels			

	Output 9.2: Selected country level impacts reviews conducted
	Output 10.1: Citizen based knowledge platform supported generating thematic and geographic specific knowledge products

V. MONITORING AND EVALUATION (M&E) PLAN

117. SGP places strong emphasis on strengthening results management, monitoring and evaluation (M&E). An agile M&E system integrated across project, country and global levels, is intended to address needs for accountability, adaptive management with informed decisions and actions, and learning from both success and failure. It enables tracking progress, and a deeper understanding of ‘what’ works and ‘why’ in the communities we serve, thereby generating evidential bases for broader adoption of the Programme and net developmental change due to it.

118. SGP Monitoring and Evaluation Strategy (2019), builds a model of change for SGP results that facilitates an understanding of how the programme creates change, and defines SGP results as follows: (i.) global environmental benefits; (ii.) socio- economic benefits; (iii.) innovation; (iv.) capacity development; and (v.) broader adoption of SGP (scaling up, replication, mainstreaming and policy influence). With the above results in focus, a measurement system has been developed, which is compliant with [GEF Results Guidelines](#), other [GEF Policies](#) and [UNDP Strategic Plan Results Framework](#). Three criteria were utilized to define SGP’s measurement for its results: is the measurement a *reasonable* indication of progress on a given result; will it serve as a suitable metric to *manage* adaptive programming; and is it *practical* to have quality, representative and cost-effective data on the measure.

119. Briefly, the measurement system is composed of (i.) SGP global environmental indicators guided by GEF-7 results architecture. SGP is aligned with 6 of the 11 GEF-7 core indicators; (ii.) introduction of two new socio- economic indicators. These are number of beneficiaries with improved livelihoods and well-being, and number of beneficiaries benefitting from SGP, disaggregated by social inclusion groups; (iii.) introduction of a new prospective measure on innovation (to be piloted); (iv.) integration of methodologies to assess change at meta level (landscape/ country); and (vi.) programme efficiency measures. Lastly, in alignment with GEF Gender Equality Policy, SGP will explore piloting additional gender indicators. Details are available in the GEF SGP M&E Strategy.

120. On the new prospective measurements, SGP will pilot a new tool- SGP Innovation Meter, which aims to measure portfolio-wide innovation strength. It will use a six-point criterion to assess innovation coverage and depth of SGP projects, country and global portfolio. These are (i.) new way of thinking; (ii.) new use of resources; (iii.) new ways to connect; (iv.) novel improvements of existing product/ service/ delivery process; (v.) original creation; and (vi.) powering local innovators. The approach and tool will be piloted across a regionally/ typology distributed sample of the portfolio, refined with feedback, and rolled out across the portfolio during project period. On meta level change assessment, with the administration of Impact Reviews in mature country programmes, SGP will focus on assessing change and broader adoption at landscape/ country level. The intent is to build a repository of evaluative evidence over time to inform work on broader adoption (scaling up, replication, mainstreaming and policy influence), multiplier effects, and change affected due to the SGP.

121. Guided by the Joint GEF-UNDP Evaluation of Small Grants Programme, 2015, tracking SGP’s programme efficiency as a funding mechanism will also be undertaken. These include monitoring of programme and project cycle effectiveness, funding delivery rates, results driven implementation, integration of corporate standards in programming, stake holder involvement (partners/ NSCs), and financing.

122. SGP’s multi-tiered approach will be supported with dedicated M&E procedures, templates and guidance at global, country and project levels. The M&E system mirrors the three tiers of programming and will be operationalized in an integrated manner across the three levels. Here, community projects are nested within country programmes which are in turn nested within the global programme. At the global level, the project document provides the overall strategic programming framework with strategic initiatives described and Grantmaker plus activities that guide, enable or support programming at country and grant project levels.

Country Programme Strategies (CPS) are developed and formulated by National Coordinators and National Steering Committees within this general framework, adapting the global programme's objectives to country level conditions and contexts, in particular to selected landscapes and seascapes for focused support. Community organizations within these landscapes, as part of the participatory landscape strategy planning process, identify community projects and strategic initiatives to be programmed in pursuit of landscape level outcomes as framed in each Country Programme Strategy.

123. At the project level, there will be a lean M&E framework to support harmonized data collection and reporting across SGP portfolio. Each of the SGP projects picks from a *Roster of Indicators*, and a given project can be linked to a minimum of one of the GEF-7 Global Environmental Indicators and at most three. Grantees will have the flexibility to select any additional indicators as part of their M&E plan as maybe context appropriate. These indicators will be tracked as a two-step process. At project commitment stage, as part of the Memorandum of Agreement process between SGP and CSO/ CBO Grantee, the grantees, with support from NC, will select from the indicator roster with a quantitative target, and commit to their tracking as part of planned project monitoring and reporting. This will also enable identification of early capacity needs on grantee end. These indicators and quantitative results would thereupon be reported in SGP *project mid-term and final progress reports*, at project conclusion stage.

124. At the country level, SGP country programme teams, as well as the NSC, undertake monitoring of grant portfolio on an ongoing basis. Each project is visited at least once during the life cycle of project. In close collaboration between NCs and NSCs, periodic project reviews and monitoring of CPS implementation is undertaken. A strengthened database will support producing annual results at the country level. Country level results reporting is intended to serve as a useful tool to benchmark overall progress of the country programme against the objectives set in the CPS, allowing each country programme to take appropriate measures and adaptive management decisions. In addition, the NSC will review progress of projects that received support as well as the achievement of results by completed projects. Results of reviews and relevant reports will be shared with country GEF Operational and Political Focal Points, relevant Rio Convention focal points and UNDP Country office. In coordination with NCs, NSCs use these reviews for upstream proliferation of SGP results, broker learning and connect project grantees and key partners. Please see attached operational guidelines for further details.

125. At Global level, in compliance with [GEF Monitoring Policy](#), a consolidated annual monitoring report is submitted to the GEF secretariat, including the status of the Programme; results across applicable core Indicators; project financing approved, committed, and disbursed by operational phase, with a breakdown between grants to civil society and community-based organizations and other costs, as well as core funds and additional funds from country allocations; and any other information as required by relevant GEF policies. The global level will track and report on progress on impacts achieved at the global programme level, by monitoring targets and indicators in the in the Results Framework. Reporting to GEF, UNDP, conventions and other partners will be done herein. Global portfolio monitoring and thematic portfolio reviews will also be periodically produced to measure impact achieved. Advanced production of data analytics will support both tracking and reporting of SGP performance. This includes annual production of data reports and regional factsheets. Such an analysis of the portfolio will serve as a basis to identify key projects, successful pathways and tracking evidence.

126. Quality assurance, and building a culture centered on evidence, are pivotal elements of SGP M&E approach going forward. Methodological toolkits and checklists will be provided to support a participatory approach towards credible data across the three levels. Integration in indicator selection and target setting process between global, country and project levels will also be ensured. *For global and country level linkage:* with both global indicators and targets defined in the SGP Project Document, all country programme strategies (CPS) will respond and aggregate towards them. CPS results framework will integrate some of the key global

level indicators in areas of country focus and develop corresponding targets for them. In line with SGP's demand driven programmatic nature, CPS has flexibility to go over and above globally defined indicators to address local civil society priorities. *For country and project level linkage:* CPS commitments will be reflected at the time of project selection with NSC assessing linkage of a given project with CPS indicators and targets. Preference will be given to selecting projects with high degree of alignment on CPS indicators and their ability to contribute to targets.

127. SGP M&E will be guided by a set of principles to seamlessly integrate project, country and global levels. These provide: (i.) clear objectives for each of the three levels; (ii.) focus to what success looks like with application of RBM principles. With a focus on reducing reporting burden faced by grantees, project level will be directed by principles to minimize data collection and reporting burdens on grantees, aligning project results with strategic objectives of SGP country programmes and tracking SGP's non-financial contribution towards successful implementation of the project. Country level is guided by drawing on key project level data to measure progress towards country programme strategy, recognizing country results are more than the sum of project results, and focusing efforts to capture broader change due to the programme. Key principles to guide Global level results management efforts include aligning with stakeholder needs for accountability, assessing change due to SGP intervention, measuring for SGP contribution and attribution, and undertaking endeavors to build an evidence-based learning culture across the Programme.

128. In accordance with the GEF Policy on Monitoring (GEF/C.56/03/Rev.01, June 12, 2019), SGP will provide annual monitoring report that covers results and financial information by operational phase. While specific [UNDP requirements](#) are not outlined in this project document, SGP country teams will work with UNDP country Office and other relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. SGP's monitoring and evaluation system will be fully in-line with [GEF](#) and [UNDP](#) monitoring and evaluation policies and minimum standards, including consistency with [UN Evaluation Group standards and norms](#). The M&E strategy also presents a set of differentiated roles and responsibilities have also been developed for each of the constituents: Project Grantee, SGP country team (National Coordinator/ Programme Assistant), National Steering Committee, and Global level team. Activities outlined in the M&E plan will be undertaken as necessary and appropriate to ensure cost-effectiveness at each level.

129. The broad categories for SGP's M&E budget are as below and the M&E work plan is presented in the table that follows:

1. Field based monitoring (including travel)	
- Country level (110 countries)	\$2,332,000
- Global level (CPMT)	\$424,000
2. Impact reviews / evaluations	\$700,000
3. Audits (included in Project management cost)	(\$508,800)
4. SGP database	\$ 300,000
5. Quality assurance / technical assistance	\$3,557,906
Total (excludes audit)	\$7,313,906

Monitoring and Evaluation workplan

M&E Activity	Purpose	Responsible Parties	Budget Source	Timing
PROJECT LEVEL				
Project M&E plan	Ensure compliance with minimum project design standards and norms	Grantee and NC	NC staff time	At project commitment stage
Participatory Project Monitoring	Monitoring; learning; adaptive management	Grantee	Covered under project grant amount	Ongoing throughout project implementation

M&E Activity	Purpose	Responsible Parties	Budget Source	Timing
Project Evaluation (as necessary / cost effective)	Assess project effectiveness	Grantee, NC, NSC, third party	Covered under project grant amount	Upon completion of project activities, as appropriate
Project Progress Reports (Midterm progress report, final progress report)	Reporting of results; adaptive management	Grantee	Covered under project grant amount	At mid-term and final tranche
Financial Reports (usually 2, per agreed disbursement schedule)	Financial accountability and assessment of cost-effectiveness	Grantee	Covered under project grant amount	At each disbursement request
Project monitoring (as necessary / cost effective ¹³)	Monitoring, adaptive management	NC, NSC	Country Operating Budget	At least once per project cycle
Maintain project description/results in global project database	Enable efficient reporting to CPMT, GEF, donors, others	PA and NC	Staff time	At start of project, on ongoing basis, and at project completion
COUNTRY LEVEL				
M&E Activity	Purpose	Responsible Parties	Budget Source	Timing
Country Programme Strategy elaboration	Framework for action including identification of community projects.	NC, NSC, country stakeholders, grantees	SGP planning grant	At start of project
As part of NSC meetings, ongoing review of project results and analysis. This includes an Annual CPS Review.	Assess effectiveness of projects, country portfolio; learning; adaptive management.	NC, NSC, UNDP Country Office. Final deliberations shared/ analyzed with CPMT colleagues.	Staff time, Country Operating Budget	Minimum twice per year to ensure SGP CPS is on track to achieve its results and make timely and evidence-based modifications to CPS as may be needed ¹⁴ .
Annual Monitoring Report Survey ¹⁵	Enable efficient reporting to CPMT and GEF. It serves as the primary tools to record and analytically present results to donors.	NC/PA in close collaboration with NSC. CPMT supports the process.	Staff time	Once per year in June- July
Country Portfolio Review	Methodological results capture for impact level change. Supports reporting to stakeholders, learning, and strategic development/ implementation of CPS.	NC, Global M&E staff	SGP planning grant	Once per operational phase
SGP Database	Ensure recording of all Project and Country Programme inputs in SGP database.	NCS, PAs	Staff time	Throughout the operational phase.

¹³ To ensure cost-effectiveness, project level monitoring and evaluation activities, including project site visits, are conducted on a discretionary basis, based on internally assessed criteria including (but not limited to) project size and complexity, potential and realized risks, and security parameters.

¹⁴ Please note SGP CPS is regarded as a dynamic document and can be updated by the SGP country team and NSC on a periodic basis to reflect any necessary adjustments to ensure maximum impact. This CPS update process should be part of the Annual CPS Review.

¹⁵ Timely and quality country level submissions to Annual Monitoring Process are mandatory. As a Global Programme, it enables aggregated reporting by CPMT to GEF, UNDP and other stakeholders.

M&E Activity	Purpose	Responsible Parties	Budget Source	Timing
Audit	Ensure compliance with project implementation/management standards and norms.	UNOPS/ External	Global Operating Budget	Annually for selected countries on risk-assessment basis
GLOBAL LEVEL				
Implementation of new SGP M&E strategy	Strengthened results management across the three levels.	CPMT	Global M&E budget and staff time	Ongoing
Revamping and maintenance of SGP Database	Streamlining, alignment with other systems (such as one UNOPS), serve as an instrument to implement new strategy	CPMT	Global M&E budget and staff time	Ongoing
SGP Annual Monitoring Report	Accountability, learning, presentation of results to donor	CPMT with inputs from NCs	Global M&E budget and staff time	Annually
Production of annual data analytics- by regions, typologies	Availability of data for decision making and presentation of results	CPMT	Global M&E budget and staff time	Annually
Administration of Impact Reviews across countries and themes	Assess change due to SGP at meta level; support generation of methodologically sound evidence	CPMT working to support NCs	Global M&E budget and staff time	Ongoing
Programme Delivery Reports (GEF Financial Reporting)	Assessment of implementation efficiency	UNOPS to UNDP-GEF	Covered under UNOPS operating costs	Quarterly
SGP Reporting for GEF APMR	Presentation of results to donor as financial mechanism for Conventions	CPMT to GEF Secretariat	Global operating budget and M&E budget and staff time	At least one month prior to deadline for GEF Secretariat reporting
Inputs to UNDP and GEF country and thematic evaluations	Provide lessons; assess effectiveness, relevance, results and impact	CPMT, SGP country teams, UNDP and /or GEF Evaluation Offices	Covered under budgeted staff time	<i>Ad Hoc</i>
SGP Independent Evaluation	Assess effectiveness, continued relevance, cost-efficiency; learning; adaptive management	CPMT, UNDP and GEF Independent Evaluation Offices	Global operating budget and M&E budget and staff time	Once per Operational Phase

130. Building on a solid foundation from previous phases of the SGP, the development of a multi-year SGP Results Based Management (RBM) Strategy, capturing key objectives, processes and responsibilities, is an immediate step going forward. An agile RBM system integrated across project, country and global levels, will address needs for accountability, adaptive management with informed decisions and actions, and learning from both success and failure. Principally, across the three levels (i) there will be a focus on developing normative frameworks; (ii) development of an enhanced online database as a mechanism to manage and report on the varied needs of grantees, country programmes and global portfolio; (iii) build robust capacities of people, processes, and systems- and institutionalize a programme-wide RBM culture; (iv) enhance data quality and assurance mechanisms; and (v.) introduce M&E innovations to capture non-linear and long term developmental change and impact.

VI. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

131. SGP's government and management arrangement has been discussed and agreed by the GEF Council through the GEF-7 SGP Implementation Arrangement paper. Below section summarizes the governance and management arrangement of the SGP. Further details could be found in the SGP Operational Guidelines that is annexed in this project document.

132. SGP management and implementation is governed by the updated SGP Operational Guidelines (provided in annex 5). The principles and practices included in the Operational Guidelines are the results of practices that have proved effective and greatly useful in SGP operations for more than a decade. UNOPS execution processes, policies, guidance and templates related to all matters of SGP administration are consolidated in the UNOPS SGP Standard Operating Procedures (SOPs) which are updated on an annual basis and available on the UNOPS intranet. The SGP Project Board has also approved a matrix of roles and responsibilities between UNDP and UNOPS and the programme's various management units.

(i) *Global level*

133. **SGP Steering Committee:** As a GEF Corporate Program, SGP is guided by a Steering Committee. The GEF SGP Steering Committee provides strategic corporate programme vision and long-term strategy for the SGP, as well as enables linkages with the GEF, its Agencies and CSO stakeholders. It is composed by GEF Secretariat as Chair, UNDP and the GEF CSO Network as members, and the SGP Central Programme Management Team as secretariat to the committee. The Committee is tasked to: (1) Provide overall strategic direction to SGP in terms of corporate programme vision and long-term strategy; (2) Provide guidance and enable linkages with the GEF, its Partner Agencies and CSO stakeholders; (3) Establish country participation policy to include start-up of new Country Programmes as well as upgrading of existing ones; (4) Strongly support SGP's resource mobilization efforts and facilitate establishment of strategic partnerships where useful; (5) Promote strengthened linkages between SGP and GEF projects and programmes; (6) Review, strengthen, and endorse the SGP Strategy, and; (7) Based on the SGP Annual Monitoring Report, help address any strategic issues arising during implementation.

134. **SGP Programme Board.** The Programme Board is chaired by UNDP as the 'Project Executive' member of the Board, and includes participation of UNOPS as the Implementing Partner, and SGP CPMT as the Project management team. The purpose of the Programme Board is to provide overall guidance, direction and oversight to the programme, including its management, and is accountable for programme success. The Programme Board usually meets twice annually to review strategic matters concerning programme implementation and oversight.

135. **Implementing Agency:** Given broad country presence, UNDP will continue to implement the SGP on behalf of the GEF Agencies. UNDP implements the SGP as a global GEF corporate programme for both GEF funded activities and co-financed projects delivered through SGP. In this way, UNDP provides value-added benefits as programme implementation proceeds in synergy with overall UNDP and UNDP CO programming. Moreover, UNDP provides quality assurance and oversight services for the SGP through its headquarters, regional and country office levels. As defined by the GEF Council, these services cover: (a) project cycle management services which entail quality assurance and oversight across the full project cycle of project identification, preparation of project concept, preparation of detailed project document, project approval and start-up, project implementation and supervision, and project completion and evaluation; and (b) corporate services in relation to the formulation of policy and strategy for the GEF. UNDP is represented on the SGP Steering Committee as well as the Programme Board as described below.

136. **Executing Agency:** The executing agency of the Programme will continue to be UNOPS, as has been the case since inception. Thus, UNOPS is the UNDP Implementing Partner for SGP. The Implementing Partner

is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document. UNOPS provides programme execution services including administrative, financial, legal, operational, and procurement for the SGP as described in detail in the UNOPS SGP Standard Operating Procedures (SOPs). The UNOPS Grant Management Services works closely with the CPMT and UCP teams. The relationship between UNOPS and UNDP (including COs) is guided by the umbrella MOU¹⁶ signed by both agencies. These include the arrangements covering UNDP CO support to SGP local administration and activities. To facilitate global coherence in execution of services, organizational policies, and operating procedures, UNOPS maintains a management team¹⁷, which coordinates with SGP CPMT and UNDP HQ respectively. This UNOPS team also represents UNOPS on the Programme Board.

137. **Other Agencies:** particularly international NGOs, including Conservation International, International Union for Conservation of Nature, and World Wildlife Fund, have been involved closely with SGP operations in many countries. Representatives of international NGO country offices are frequently involved as NSC members. Local CSO partners of these GEF Agencies have been mobilized to apply for and access SGP grants. These GEF Agencies are often engaged in cofinancing SGP projects, knowledge sharing, and collaboration on related events and workshops at the country level. SGP will continue to proactively pursue collaboration with other GEF Agencies for relevant activities and events to enable mutual learning and knowledge exchange, as well as explore strategic partnerships at the global and country levels. There also is a potential of a SGP Country Programme to act as a community-based granting mechanism for GEF and non-GEF funded projects of GEF Agencies, as has taken place for several projects with UN Environment.

138. **The SGP Central Programme Management Team (CPMT)** at UNDP manages the SGP Global Programme and has overall responsibility for supervising the SGP Country Programme and for the technical and substantive quality of SGP country portfolios. CPMT develops global strategy, guidelines and standards in the development of SGP projects with the objective of ensuring quality, while also facilitating the design of proposals. CPMT supervises SGP National Coordinators and facilitates the start-up of new Country Programmes. CPMT is supported by and coordinates the work of UNOPS, which provides execution services. The CPMT consists of a Global Manager, a Deputy Global Manager, Programme Specialists responsible for matrixed country support and focal area guidance, Programme Specialists for Knowledge Management and for M&E, and Programme Associates.

(ii) Country level

139. **UNDP Country Offices:** located in more than 170 countries play a key role in providing the necessary support at the country level. UNDP provides oversight functions of the programme at the global and national levels. In particular, with UNDP's nearly universal presence in countries, its Country Offices supports the start-up of SGP Country Programmes, recruitment of national coordinators, local supervisions, and resource mobilization. The UNDP Country Offices provide, as per request by and as agreed with UNOPS, any needed operational oversight for the SGP Country Programme. The UNDP Resident Representative or delegated senior staff is a member of the SGP National Steering Committee. While the SGP National Coordinator reports to the CPMT Global Manager as primary supervisor for global technical and substantive matters, the NC has the UNDP RR as secondary supervisor at the country level, in particular on assuring that he/she performs according to the high professional and ethical standards of the UN. In a limited number of countries, a **National Host Institution (NHI)**, contracted through UNOPS, supports the administration of the programme

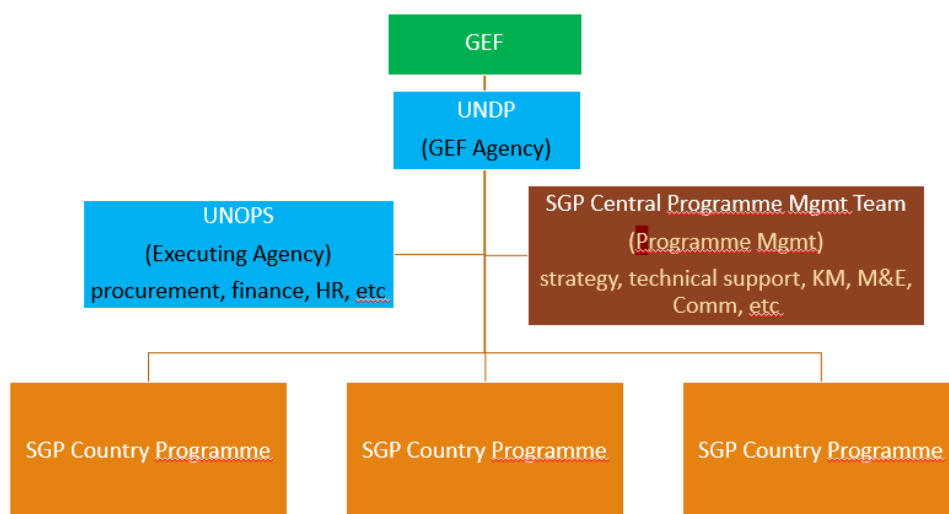
16 Memorandum of Understanding For a Strategic Partnership Between the United Nations Development Program (UNDP) and the United Nations Office for Project Services (UNOPS), signed by Ad Melkert, UNDP Associate Administrator and Jan Mattson, UNOPS Executive Director, June 5, 2009.

17 This UNOPS central management team or small grants cluster with fully dedicated staff and based in New York ensures fast and efficient delivery based on regular meeting on admin and finance matters with CPMT.

140. **SGP National Steering Committee (NSC):** in each country is composed of government representatives and a majority of nongovernmental membership to reflect the program’s mandated focus for CSO capacity building. The NSC will provide overall country guidance and provide direct linkages to national policymaking, development planning, knowledge dissemination, and leveraging of SGP's catalytic role. The NSC is responsible for selecting and approving projects, and for ensuring their technical and substantive quality with support from a Technical Advisory Group. In addition, NSC members are expected to support the Country Programme in resource mobilization and in mainstreaming SGP lessons learned and successes in other national contexts. The primary functions of the NSC are the identification, review, and approval of qualified grant proposals that support priorities.

141. **SGP Country Programme Team:** For each participating country, there is an SGP Country Programme Team consisting of a National Coordinator (NC) and often a Programme Assistant (PA), for the operation of the SGP Country Programme on a day-to-day basis. The NC is responsible for all aspects of country programme operations and management, including implementation, management, partnership development, knowledge management and M&E of the programme. When fulfilling his/her functions, and in adherence to the country-driven nature of the programme, the NC seeks guidance and support from, and in a sense also reports to the National Steering Committee (NSC) on progress in programme implementation. Most SGP Country Programme Team are hosted by the UNDP Country Office, providing required local supervision and oversight of the program. In a limited number of countries, a National Host Institution is selected among the country NGOs with necessary capacity. The SGP Country Programme Strategy is developed in each country that guides the SGP operation within country, enabling strategic use of resources and articulating how SGP supports national and GEF strategic priorities. SGP Country Programme Team is responsible for all aspects of SGP management in the country, in particular with the work of the NSC, while also facilitating global coherence in SGP implementation through its reporting links to the SGP

SGP organization structure – simplified version:



VII. FINANCIAL PLANNING AND MANAGEMENT

142. The total GEF Core grant fund that has been approved by the GEF-7 Replenishment and Council is \$128 million, along with the provision to have additional STAR allocations as per the SGP implementation Arrangement for GEF-7. The Part 1 project, which consists half of the GEF-7 core funding, is financed through a GEF grant of USD \$61.5 million with co-financing of US\$ 64 million as per the PIF that was approved by the GEF Council in Dec 2018. Part 2 PIF, for the remaining half of the GEF-7 core funding (\$61.5 million) was approved by the GEF Council in June 2020. Furthermore, Part 3 PIF with approximately total \$38.4 million of GEF-7 STAR funding is expected to be approved in December 2020 or in 2021. The scope and activities outlined in this project document provides the overall strategic directions of the SGP 7th operational phase. Each Part is expected for a project duration of 4 years, which makes the total OP7 SGP project duration to about 7 years. As SGP employs a rolling modality, OP8 is expected to kick start by around the 4th or 5th year of the OP7 implementation. Thus, each project of the SGP will collectively and cumulatively contribute to the agreed approach, strategy, and results of the SGP in the respective GEF replenishment period.

143. As per earlier practice and as recommended under the GEF council document¹⁸, SGP grant allocation to countries will be based on “initial allocations [that] are made equally across all eligible and interested countries” with the provision to make “reallocation of any unused core funds across eligible and interested countries with a view to promoting the effective and efficient utilization of the GEF-7 core envelope.” Thus, under the GEF-7 SGP, initial allocation to country is expected to be around US \$500,000 per country (depending on the number of new countries that may join during the period) for existing countries with possibility of some countries with capacity to receive additional resources. The amount will be prorated for new OP7 countries depending on when they join the SGP during GEF-7. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

144. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, should budget revision is required, SGP Global Manager will seek the approval of the UNDP NCE and Programme Steering Committee as required, particularly for budget re-allocations among components in the project when necessary.

145. Over expenditure incurred beyond the available GEF grant amount is not permitted. .

146. Audit: The project will be audited as per SOPs and Operational Guidelines following the UNOPS rules and regulations. Audit cycle and process must be discussed during the Inception workshop.

147. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, and if there is no increase of the project budget, extension of the operational closure date beyond the initial duration of the project may be approved by the UNDP-GEF Directorate. However, all costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

148. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed.

149. Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNOPS rules and

¹⁸ Small Grants Programme: Management of Core Funding and Results Framework for GEF-7 (GEF/C.55/Inf.05)

regulations. In all cases of transfer, a transfer document must be prepared and kept on file. The transfer should be done before Project management Unit (team) complete their assignments.

150. Financial completion (closure): The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision). The project will be financially completed **within 6 months of operational closure or after the date of cancellation**. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. UNOPS will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP.

VIII. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Atlas Award ID:	00121215	Atlas Output Project ID:	00117051
Atlas Proposal or Award Title:	7th Operational Phase of the GEF Small Grants Programme – Part 1	Atlas Business Unit	UNDP1
Atlas Primary Output Project Title	GEF-SGP Operational Phase 7-Country Projects		
UNDP-GEF PIMS No.	6271, 6495, 6509		
Implementing Partner	UNOPS		

Expenditure Category	Details/Notes	GRANT COMPONENT	NON-GRANT COMPONENT			
			M&E	TA	PMC	Total
Grants Core	Grants to CSOs/CBOs.	\$78,000,000				
Grants STAR	Grants to CSOs/CBOs to countries that have endorsed STAR resources	\$32,000,000				
Sub-total Grant		\$110,000,000				
Non-Grants						
International Consultants	Consultants include experts for M&E, KM & communication and capacity development activities		\$122,228	\$301,772	\$0	\$424,000
Local Consultants	Consultants include experts for M&E, KM & communication and capacity development activities		\$487,600	\$1,208,400	\$0	\$1,696,000
Salary and benefits	Salaries of CPMT and some NCs and PAs on fixed term contracts (note - NCs and PAs on FTA contracts are pre-2008; those recruited after 2008 hold Service Contracts). CPMT and national staff provide thematic experience (e.g. in GEF focal areas) and technical inputs into program implementation & oversight.		\$1,653,600	\$6,946,774	\$4,881,585	\$13,481,959
Contractual Services	NCs, PAs and others providing technical assistance and programme management at the country level. It also includes contractual services for the database and communications around \$300,000.		\$848,000	\$18,211,178	\$2,911,935	\$21,971,113
Trainings, Workshops, Meetings	Training/workshops on capacity development for (grantee and country stakeholders), project development, and CSO dialogues and events at the country level. Organization of National Steering Committees and other coordination meetings.		\$811,515	\$815,755	\$281,731	\$1,909,001
Travel	Travel costs related to monitoring of grantee projects and country programme. Startup missions for new countries. Participation in GEF events, MEA COPs, etc.		\$2,161,659	\$1,758,859	\$1,270,947	\$5,191,465
Premises (Office rental)	Countries and global office rental and maintenance		\$0	\$0	\$2,824,327	\$2,824,327
Audits	10-12 country level audits per year by reputable international firm.		\$0	\$0	\$508,800	\$508,800
Office Supplies	Cost of supplies for day to day operation of SGP global and country offices (e.g. stationaries)		\$148,252	\$148,252	\$352,865	\$649,369
Other Operating Costs	Miscellaneous Costs including bank charges, cost of equipment and vehicle maintenance, purchase of office equipment and furniture, payments for printing services, other communication costs such as internet etc.		\$1,081,052	\$148,251	\$1,653,125	\$2,882,428
Sub-total non-Grant			\$7,313,906	\$29,539,241	\$14,685,315	\$51,538,462
Grand Total		\$110,000,000	\$7,313,906	\$29,539,241	\$14,685,315	\$161,538,462
Grand Total Budget Part 1 A			\$161,538,462			

BUDGET PART 2- CO-FINANCING									
UNDP		Government		CSO		Private Sector		Beneficiaries	
Cash Co-financing	In-kind Co-financing	Cash Co-financing	In-kind Co-financing	Cash Co-financing	In-kind Co-financing	Cash Co-financing	In-kind Co-financing	Cash Co-financing	In-kind Co-financing
\$10,500,000			\$28,875,000		\$52,500,000	\$3,937,500	\$3,937,500		\$68,250,000
								Grand Total - Co-financing	
								\$168,000,000	

FINANCING PLAN

SGP CORE (First Tranche) Approved (CEO Endorsed)	\$61,538,462
SGP CORE (Second Tranche) Secured (PIF approved)	\$61,538,462
SGP STAR (Un-Funded)	\$38,461,538

TOTAL	\$161,538,462
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* UNOPS cost (6%) is included in each budget line

BUDGET WORK PLAN (First Tranche) Approved \$61,538,462

The first tranche funding (half of the GEF-7 Core resources to SGP) is expected to cover the first 4 years of OP7 operation. Grants to CSOs/CBOs will be made in a cascading manner over the 4 years duration, while the TA, M&E, PMC costs are for the first 2 years. The second tranche funding will cover the TA, M&E, and PMC costs for the 3rd and 4th years of the OP7 operation, along with additional finance for grants to CSOs/CBOs.

Atlas Activity (GEF Component)	Atlas Implem. Agent	Atlas Fund ID	Don or	Expenditure Category	Atlas Budgetary Account Code	ATLAS Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
COMPONENT 1: GRANTS	UNOPS	62141	GEF	Grants	72600	Grants	15,600,000	11,700,000	7,800,000	3,900,000	39,000,000	1
						Total Component 1 Grants	15,600,000	11,700,000	7,800,000	3,900,000	39,000,000	
COMPONENT 2: M&E	UNOPS	62141	GEF	International Consultants	71200	International Consultants	30,557	30,557	-	-	61,114	2
				Local Consultants	71300	Local Consultants	121,900	121,900	-	-	243,800	3
				Salary and benefits	77300	Salary and related costs–TA/IP	413,400	413,400	-	-	826,800	4
				Contractual Services	71400	Contractual Services – Individ	62,000	62,000	-	-	124,000	5
					72100	Contractual Services-Companies	150,000	150,000	-	-	300,000	
				Trainings, Workshops, Meetings	75700	Training, Workshops and Confer	91,690	91,690	-	-	183,380	6
				Travel	71600	Travel	355,100	355,100	-	-	710,200	7
				Other Operating Costs	74500	Miscellaneous Expenses	233,200	233,200	-	-	466,400	11
						Total Component 2 M&E	1,457,847	1,457,847	-	-	2,915,694	
COMPONENT 3:TA	UNOPS	62141	GEF	International Consultants	71200	International Consultants	75,443	75,443	-	-	150,886	2
				Local Consultants	71300	Local Consultants	302,100	302,100	-	-	604,200	3
				Salary and benefits	77300	Salary and related costs–TA/IP	832,100	832,100	-	-	1,664,200	4
					77200	Salary and related costs–TA/GS	904,593	904,593	-	-	1,809,187	
				Contractual Services	71400	Contractual Services – Individ	4,552,795	4,552,795	-	-	9,105,589	5

				Trainings, Workshops, Meetings	75700	Training, Workshops and Confer	92,750	92,750	-	-	185,500	6
				Travel	71600	Travel	254,400	254,400	-	-	508,800	7
						Total Component 3 TA	7,014,181	7,014,181	-	-	14,028,362	
Project management costs	UNOPS	62141	GEF	Salary and benefits	77300	Salary and related costs-TA/IP	901,530	901,530	-	-	1,803,060	4
					77200	Salary and related costs-TA/GS	177,020	177,020	-	-	354,040	
				Contractual Services	71400	Contractual Services - Individ	457,253	457,253	-	-	914,506	5
				Travel	71600	Travel	238,500	238,500	-	-	477,000	7
				Premises (Office rental)	73100	Rental & Maintenance-Premises	530,000	530,000	-	-	1,060,000	8
				Audits	74100	Professional Services	127,200	127,200	-	-	254,400	9
				Office Supplies	72500	Supplies	53,000	53,000	-	-	106,000	10
				Other Operating Costs	72200	Equipment and Furniture	8,500	8,500	-	-	17,000	11
					72300	Materials & Goods	20,500	20,500	-	-	41,000	
					72400	Communic & Audio Visual Equip	60,500	60,500	-	-	121,000	
					72800	Information Technology Equipmt	12,000	12,000	-	-	24,000	
					73400	Rental & Maint of Other Equip	22,500	22,500	-	-	45,000	
					73500	Reimbursement Costs	28,000	28,000	-	-	56,000	
					74200	Audio Visual&Print Prod Costs	35,500	35,500	-	-	71,000	
					74500	Miscellaneous Expenses	114,200	114,200	-	-	228,400	
					74700	Transport, Shipping and handle	11,000	11,000	-	-	22,000	
						Total Project Management	2,797,203	2,797,203	-	-	5,594,406	
PROJECT TOTAL							26,869,231	22,969,231	7,800,000	3,900,000	61,538,462	

Budget notes:

- 1.-Grants to CSOs/CBOs. Approx 300k-350k per country will be allocated from Part 1 project depending on the total number of new countries that will be joined
- 2.-Consultants include experts for M&E, KM & communication and capacity development activities
- 3.-Consultants include experts for M&E, KM & communication and capacity development activities
- 4.-Salaries of CPMT and some NCs and PAs on fixed term contracts (note - NCs and PAs on FTA contracts are pre-2008; those recruited after 2008 hold Service Contracts). CPMT and national staff provide thematic experience (e.g. in GEF focal areas) and technical inputs into program implementation & oversight.

- 5.-NCs, PAs and others providing technical assistance and programme management at the country level.
- 6.-Training/workshops on capacity development for (grantee and country stakeholders), project development, and CSO dialogues and events at the country level. Organization of National Steering Committees and other coordination meetings.
- 7.-Travel costs related to monitoring of grantee projects and country programme. Start up missions for new countries. Participation in GEF events, MEA COPs, etc.
- 8.-Office rent and maintenance at countries and global levels
- 9.-10-12 country level audits per year by reputable international firm.
- 10.-Cost of supplies for day to day operation of SGP global and country offices (e.g. stationaries)
- 11.-Miscellaneous Costs including bank charges, cost of equipment and vehicle maintenance, purchase of office equipment and furniture, payments for printing services, other communication costs such as internet etc.

IX. LEGAL CONTEXT

151. This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP.

152. UNOPS is the Implementing Partner. The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried out; (b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

153. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

154. UNOPS shall not make any financial commitments or incur any expenses that would exceed the budget for implementing the project as set forth in this Project Document. UNOPS shall regularly consult with UNDP concerning the status and use of funds and shall promptly advise UNDP any time when UNOPS is aware that the budget to carry out these services is insufficient to fully implement the project in the manner set out in the Project Document. UNDP shall have no obligation to provide UNOPS with any funds or to make any reimbursement for expenses incurred by UNOPS in excess of the total budget as set forth in the Project Document.

155. Any changes to the Project Document that would affect the work being performed by UNOPS shall be recommended only after consultation between the parties. Any amendment to this Project Document shall be effected by mutual agreement, in writing.

156. UNDP and UNOPS shall use their best efforts to promptly settle through direct negotiations any dispute, controversy or claim which is not settled within sixty (60) days from the date either party has notified the other party of the dispute, controversy or claim and of measures which should be taken to rectify it, shall be referred to the UNDP Administrator and the UNOPS Executive Director for resolution.

157. Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

X. RISK MANAGEMENT

158. UNOPS as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.) In the implementation of the activities under this Project Document, UNOPS as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures. Notwithstanding the foregoing, the UNOPS, as the Implementing Partner, will notify UNDP of any such allegations and investigations it may conduct further to such allegations.

159. UNOPS as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient that is not a UN entity:

- a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNOPS’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
- b. UNOPS reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
- c. In the performance of the activities under this Project, UNOPS as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or handle SEA and SH.

160. UNOPS agrees to undertake all reasonable efforts to ensure that none of the [project funds]¹⁹ [UNDP funds received pursuant to the Project Document]²⁰ are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aa_sanctions_list.shtml.

161. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

162. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project

¹⁹ To be used where UNDP is the Implementing Partner

²⁰ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

or programme or using the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

163. The Implementing Partner and UNDP will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

164. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

165. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

166. Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

167. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

168. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

169. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management Standard Clauses" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

Annex 1: SGP Operational Guidelines (updated June 2020)



*Empowered lives.
Resilient nations.*

**GEF Small Grants Programme
Operational Guidelines
(updated June 2020)**

Purpose of this Document

Launched in 1992, the GEF Small Grants Programme (SGP), implemented by the United Nations Development Programme (UNDP) on behalf of the GEF Partnership, is a GEF Corporate Programme that finances community-led initiatives to address global environmental and sustainable development issues. SGP was specifically designed to generate innovative and impactful local actions by empowering civil society organizations (CSOs²¹) and community-based organizations with a strong focus on social inclusion, including indigenous peoples, youth, women and girls, and persons with disabilities.

The Operational Guidelines are intended to assist SGP National Coordinators/Sub-Regional Coordinators (NCs), Programme Assistants (PAs), National Steering Committees (NSCs), GEF Operational Focal Points and other country level partners, UNDP Country Offices and National Host Institution (NHI), SGP Central Programme Management Team (CPMT), SGP Upgrading Country Programme teams, and UNOPS in programme implementation.

They are based on the experience and knowledge gained both at the country and global levels over 25 years of SGP programme implementation. They provide the basic policy framework for SGP operations, including the structure, implementation, and governance of the programme. They also address the project cycle and grant disbursement.

Further details on procurement, finance and administrative issues related to UNOPS operations are described in the Standard Operating Procedures (SOPs) manual. Details on the programme and project monitoring, evaluation, and reporting are covered in the SGP Monitoring and Evaluation Strategy and briefly summarized in this document. These documents are attached to the Operational Guidelines as annexes.

The guidelines are meant to apply to all SGP Country Programmes. It is recognized that different contexts and situations may require different responses and adaptations. Any questions about the application of particular provisions of the guidelines should be referred to the SGP Central Programme Management Team (CPMT).

²¹ CSOs in this context refer to national and local civil society organizations, including community-based organizations, indigenous peoples, farmers associations, scientific and academic institutions, women's groups, and youth and children organizations.

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List of Acronyms.

BAC	Budget Account Classification Code
CBO	Community-based Organization
CCF	Country Cooperation Framework
CO	Country Office
COA	Chart of Account (ATLAS)
COB	Country Operating Budget
CPMT	Central Programme Management Team
CPS	Country Programme Strategy
GEF	Global Environment Facility
IOV	Inter-office Voucher
M&E	Monitoring and Evaluation
MOA	Memorandum of Agreement
MOD	Miscellaneous Obligation Document
NC	National Coordinator
NCE	Nature, Climate and Energy Unit
NFP	National Focal Person
NFG	National Focal Group
NGO	Non-governmental Organization
NHI	National Host Institution
NPFE	GEF National Portfolio Formulation Exercise
NSC	National Steering Committee
OP	Operational Programme
PA	Programme Assistant
PO	Purchase Order (ATLAS)
REQ	Requisition (ATLAS)
SBAA	Standard Basic Assistance Agreement
SGP	GEF Small Grants Programme
SOPs	Standard Operating Procedures
SRC	Sub-Regional Coordinator
SRSC	Sub-Regional Steering Committee
SPS	Sub-Regional Programme Strategy
TOR	Terms of Reference
UCP	Upgrading Country Programme
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNOPS	United Nations Office for Project Services
UNFCCC	United Nations Framework Convention on Climate Change

PART I: COUNTRY PARTICIPATION IN SGP

1. A country that wishes to participate in the SGP may submit a letter of interest signed by the GEF Operational Focal Point and addressed to the SGP Global Manager, with a copy to the UNDP and GEF Secretariat. Participation of new countries to the SGP is subject to a number of criteria including inter alia the GEF Council guidance through the SGP implementation arrangement paper, project document for the concerned operational phase, available funding, concurrence by the UNDP, and other relevant decisions and guidance.
2. The process for setting up a new SGP Country Programme includes the preparation and review of the country application, organization of an appraisal mission, consultations with civil society organizations and other stakeholders in the country.
3. Key eligibility criteria for countries to participate in SGP include:
 - Ratification of at least one of the global environmental conventions including the United Nations Convention on Biological Diversity (CBD); the United Nations Framework Convention on Climate Change (UNFCCC); the Stockholm Convention on Persistent Organic Pollutants; and United Nations Convention to Combat Desertification (UNCCD);
 - Government commitment in support of SGP's implementation modality according to the SGP Operational Guidelines;
 - Presence of local NGOs and CBOs;
 - Potential for strong civil society organizations and government relations, and positive support for local civil society organizations;
 - Commitment for resource mobilization for the programme from the government, UNDP Country Office, and other partners' support efforts to attract other co-funding sources;
 - Positive enabling environment.

PART II. SGP PROGRAMME STRUCTURE

4. **The structure of the SGP, implemented by UNDP, is decentralized and country-driven.** Within the parameters established and approved by the GEF Council under the GEF Programming Direction, SGP Implementation Arrangement and other relevant GEF Council decisions, and the SGP Project Documents for the SGP Operational Phase, the programme seeks to provide maximum country and community-level ownership and initiative. This decentralization is balanced against the need for programme consistency and accountability across the participating countries at the global level for the achievement of the GEF's global environmental benefits that are outlined in the Project Document for the Operational Phase.
5. **The overall programme direction and core funding of the SGP is agreed through the GEF Replenishment meetings for each GEF replenishment phase.** This is followed by decisions at the GEF Council, where details on the SGP implementation arrangement are discussed and endorsed for each GEF replenishment phase. The SGP Operational Phase typically starts during the first

year of the GEF replenishment phase, and the global programme runs for several years on a rolling basis.

6. Subsequently, the GEF Council approves the SGP's Project Information Forms (PIFs) and the GEF CEO endorses the SGP Project Document(s) for each SGP Operational Phase.²² The SGP is financed by: 1) GEF's set aside finance (Core funds); 2) the GEF System of Transparent Allocation Resources (STAR); and 3) cofinancing. Cofinancing to the SGP is sought from CSOs/NGOs, bilateral and multilateral donors, foundations, private sector, governments, and others, who play a key role in establishing partnerships, leveraging resources, and providing sustainability to the programme.
7. The SGP Project Documents for the concerned Operational Phase provides the official framework for SGP operations in line with the programming and policy directions of the GEF replenishment phase. The project documents are signed between UNDP as the GEF Agency and UNOPS (or another entity in the case of Upgraded Countries Programmes – refer below) as the programme executing agency (Responsible Party in UNDP nomenclature).

I. Global-level Structure

8. **Since its establishment in 1992, as a Corporate Programme of the GEF, the SGP has been implemented by UNDP as the GEF Agency on behalf of the GEF Partnership.** UNDP is therefore legally accountable to the GEF Council for the implementation, as well as the management of other SGP co-financing resources that are channeled through UNDP. The global Nature, Climate and Energy Unit at the UNDP Headquarters in New York (UNDP-NCE) provides fiduciary oversight for all of its GEF activities, including the SGP. UNDP Headquarters staff include the UNDP-NCE Executive Coordinator, and his/her delegated senior officer.

a) SGP Global Programme

9. **The SGP Central Programme Management Team (CPMT):** Within the UNDP framework, the SGP is managed as a Global Programme. At the country level, SGP Country Programmes are coordinated and managed by the SGP Central Programme Management Team (CPMT) at the UNDP headquarters at the global level. The CPMT provides the overall management of the SGP, including strategic, thematic, and operational guidance and support to the country programmes.
10. The SGP Global Manager is responsible for the overall programme management, including strategy, partnership, and resource mobilization, while the Deputy Global Manager oversees country programmes, results monitoring, and operational matters. The Programme Advisors are responsible for country supervision and support; guidance on thematic issues; communication

²² The SGP Core programme for the GEF Operational Phase is funded as a multi-country project framework, combining Core and STAR funds; whilst the SGP Upgraded Country Programmes (UCPs) are funded as stand-alone country project, drawn entirely from the country's GEF STAR allocation.

and knowledge sharing; monitoring and evaluation; and partnership development and networking. As necessary, the Global Manager and Deputy Global Manager delegate certain functions to the Programme Advisors. The Programme Associates are responsible for daily administration and operations, including financial monitoring and reporting; human resources support; communications; organization of meetings; filing; and responses to routine requests for information.

11. The United Nations Office for Project Services (UNOPS): Since inception, UNOPS has been the programme executing partner/Responsible Party (under the UNDP nomenclature) of the SGP. It provides programme execution services including administrative, financial, legal, operational, and procurement for the SGP as described in detail in the UNOPS SGP Standard Operating Procedures (SOPs)²³. UNOPS works closely with the CPMT.

12. The CPMT-UNOPS Regional Support Team, comprised of CPMT's Programme Advisor (as Regional Focal Point) and UNOPS's Regional Focal Point, provides a range of technical advice, operational, management and administrative support to the SGP Country Programmes for the concerned region. SGP has adopted the following geographical regions: Africa, Arab States, Asia, Europe & CIS, Latin America and the Caribbean, and the Pacific. The Regional Support Team works collaboratively in support of country programmes with regard to all substantive and operational matters. The CPMT Regional Focal Point focuses primarily on technical and programmatic matters, and the UNOPS Regional Focal Point is responsible for administrative and financial issues.

b) SGP Upgraded Country Programmes

13. Several of the longest standing and most mature SGP Country Programmes are recognized as an SGP Upgraded Country Programme (UCP). Upgrading became operational under GEF-5, with the following objectives: (i) to enable the SGP to continue to expand and serve low-income nations without concomitant growth in core funding; (ii) to make better use of the capacities of mature Country Programmes to enrich the younger, less experienced ones; and (iii) to enable mature Country Programmes to access greater financial resources and exercise more programmatic freedom in light of their greater internal capacity. Criteria to become a UCP is discussed and agreed by the GEF Council under the SGP Implementing Arrangement Paper for each SGP Operational Phase.

14. SGP UCPs are financed with GEF STAR resources as standalone full-sized or medium-sized projects, and do not receive SGP core funding. The UCPs are aligned with the overall SGP strategic directions and follow the same operational modalities as the other SGP Country Programmes. They also share a unified approach to civil society engagement, branding, strategic initiatives, knowledge management, communication, and community-driven project planning and

²³ Provide link to SOP

implementation. **UCPs follow the same SGP Operational Guidelines.**

15. SGP UCPs are implemented by UNDP as the GEF Implementing Agency. Based on an assessment of execution modalities applied during previous Operational Phases, two execution options are available for UCPs: (i) execution by UNOPS in the absence of NGOs with sufficient execution capacities, thus providing an already familiar set of procedures and instruments to National Coordinators and UNDP Country Offices and guaranteeing a reasonable rate of project delivery without additional investment in time and resources; and (ii) execution by non-governmental organization/NGO(s), where practical and strategic conditions warrant its use and the proposed NGO fulfills criteria and standards relating to fiduciary and small grants management and respective reporting.
16. SGP UCPs are managed by a UCP Global Coordinator, who provides oversight by supporting and monitoring implementation and promoting the sharing of lessons learned and best practice among UCPs and between UCPs and the Global Programme.

II. Country-level Structure

17. The SGP brings together Country Programmes of participating countries.²⁴ **The SGP Country Programme operates in a decentralized and country-driven manner through a SGP Country Programme Team and National Steering Committee in each participating country, with oversight support provided by the UNDP Country Office.** In some countries, a National Host Institution (NHI), including either a national NGO, environmental trust fund, or academic institution, is responsible for programme implementation in conjunction with the NC, NSC, and UNDP CO. SGP also operates with a Sub-Regional Coordinator among the sub-regional countries, where relevant. Further details on the Country Programme Structure is described in Part III below.

²⁴ For a full list of participating SGP countries refer: <http://www.sgp.undp.org>

Part III. OPERATION OF SGP COUNTRY PROGRAMMES

- 18.** This section covers the implementation and operations of SGP Country Programmes. It discusses in more detail the roles and responsibilities of the SGP Country Programme Team (consisted of National/Sub-regional Coordinator and Programme Assistants); National Steering Committee or National Focal Groups (for those under Sub-Regional Programme modality); UNDP Country Office; and National Host Institution. It also discusses detail processes and requirements in implementing and administrating the SGP Country Programme.

I. Arrangements at the Country Level

- 19.** The SGP operates at the country level under the Standard Basic Assistance Agreement (SBAA) between the recipient Government and the UNDP. For both SGP Country Programmes under Global Programme and UCPs, the UNDP-NCE Unit in New York is ultimately accountable to the GEF Council as the GEF Agency. UNOPS is accountable to UNDP as the programme executing agency/Responsible Party, and as stipulated in the Memorandum of Understanding between UNDP and UNOPS. In case of UCPs, the responsible party could also be an NGO. Because of the SGP's unique operating structure, the negotiation and maintenance of appropriate and supportive in-country institutional arrangements is of critical importance for effective programme implementation.

a) Oversight of SGP Country Programme at Country level

- 20. The UNDP Country Office (UNDP CO) contributes to providing oversight and support to the SGP Country Programme at the country level.** The UNDP Resident Representative (UNDP RR) in each UNDP CO may choose to assign a senior staff person (typically the Deputy Resident Representative) to serve as the SGP focal point. The UNDP RR or his/her designated delegate participates as NSC member. The UNDP RR or the designee provides day-to-day oversight to the SGP Country Programme Team and serves as a secondary supervisor to the SGP National Coordinator (NC). The UNDP CO also plays a key role in facilitating the establishment of a new SGP Country Programme as well as closing it when necessary. In addition, the UNDP CO facilitates interaction with the host government, develop links with other in-country projects and programmes, and supports scaling up and resource mobilization efforts.
- 21.** In summary, the UNDP CO provides operational support (under a Country Office Support letter of agreement), for, inter alia:
- Recruitment and appointment of SGP country programme staff on behalf of UNOPS;
 - Hosting the SGP Country Team Office;
 - Issuing appointment letters of NSC members, based on CPMT approval;
 - Participate as standing member of the SGP National Steering Committee (NSC);
 - Engage in SGP Country Programme Strategy development as well as all key project cycle of SGP grant projects as part of the NSC, including project appraisal, approval, and

monitoring.

- UNDP RR signing the Memorandum of Agreements (MOA) of the SGP grants on behalf of UNOPS. In case of UCPs that are executed by a NGO, the MOA is signed between the NGO and the grantee.
- Promotes policy and programme linkages with the government and other partners for scaling up of SGP project approaches and tools, and support on resource mobilization.

b) Hosting Arrangement for SGP Country Programme

- 22. There are two basic hosting arrangements for the country programme: UNDP Country Office (UNDP CO) or National Host Institution (NHI).** Hosting Arrangement will be finalized by the Global Manager or the UCP Global Coordinator, in consultation with country stakeholders.
- 23. The UNDP CO provides overall oversight support for in-country operations, in coordination with the CPMT or UCP Global Coordinator, for all type of hosting arrangements.**
- 24. UNDP Country Office as SGP host institution:** In most countries, the SGP Country Programme is hosted by the UNDP CO. The SGP Country Programme office may be physically located within or outside the UNDP Country Office premises, as appropriate.
- 25. SGP National Host Institution:** In keeping with the spirit and mandate of the SGP to develop and foster the capacities of CSOs in participating countries, SGP Country Programme could be hosted by a CSO as the host institution, when relevant. Based on consultations with stakeholders, the SGP Country Programme could be hosted in a National Host Institution (NHI), which may be a non-governmental organization or academic institution at the national level. Based on transparent criteria²⁵ and selection process, the SGP Global Manager or UCP Global Coordinator approves the NHI, in consultation with UNDP CO, NSC, and key national stakeholders.²⁶
- 26.** The identification of a pool of suitable NHIs is typically carried out during the SGP appraisal mission, by reviewing and assessing a list of available and interested organizations in consultation with key stakeholders, and/or through a process of competitive bidding coordinated between CPMT, UNOPS, and the UNDP CO, as appropriate. Local representation of international NGOs would not normally be eligible. The legitimacy and neutrality of potential NHIs within the NGO

²⁵ Criteria for NHI selection could include: a) National stature and credibility; b) Good working relationships with other CSOs, including participation in environment/development networks; c) Demonstrated compatibility with the procedures, objectives, and grant-making functions of the SGP, GEF, and UNDP; d) Significant experience in community-based, participatory environment and development; e) Substantial involvement and technical expertise in environmental issues related to the GEF and the Rio conventions; and f) Proven programme management and administrative capacity with systems in place.

²⁶ For NGO execution in UCPs, the Implementing Partner selection needs to follow the UNDP Partner Capacity Assessment Tool (PCAT) and the HACT assessment procedure, available in the UNDP Programme and Project Management Chapter of the POPP, under [Select Implementing Partner](#) (procedure 2.0) and [Select Responsible Party and Grantee](#) (procedure 3.0)

community at the country level are essential qualifications to carry out SGP grant-making activities.

27. A contract will be concluded between the NHI and UNOPS that outlines the technical support and administrative services to be provided, as well as the applicable operating budget. The relationship with an NHI may range from the provision of physical office space with an NC holding a UNDP/UNOPS contract; to one where the NHI carried the full responsibility for managing the SGP Country Programme, including for the recruitment of an NC. The extent of responsibility of the NHI will be clearly defined in the contract for services signed by UNOPS and the NHI and may evolve over time.
28. If the NHI resumes full responsibility including the recruitment and contracting of the NC, he/she is an employee of the NHI and reports to the head of the NHI. If the NC hosted by a NHI holds a UNDP or UNOPS contract, the staff reports directly to the SGP Global Manager or UCP Global Coordinator.
29. The NHI will submit a standard annual report for review by the CPMT and UNOPS. Once considered satisfactory performance, the NHI contract can be renewed annually by approval of the CPMT or UCP Global Coordinator. In certain cases, where the selected NHI does not fully meet performance expectations, and upon consultation with country stakeholders, the contract may be terminated, and hosting will be transferred either to the UNDP CO or to another NHI.
30. The NHI Representative may also participate as member of the NSC. To ensure transparency and impartiality, the NHI is not eligible to apply for SGP grants.

II. SGP Country Programme Team

31. **The SGP Country Programme Team consists of a National Coordinator/Sub-regional Coordinator (NC) and Programme Associate (PA),** depending on the size and complexity of the Country Programme.

a) National/Sub-regional Coordinator

32. **Roles and Responsibilities:** The NC is responsible for the overall functioning of the SGP in each participating country, and for the implementation and achievement of the SGP Country Programme Strategy for the relevant Operational Phase. For UCPs, the Project Document for the relevant Operational Phase will be the guiding framework document. Key responsibilities include inter alia to: (i) facilitate the development of the Country Programme Strategy (CPS) for each operational phase; (ii) assist CSOs in every step of the project cycle management, including development, implementation, and monitoring; (iii) serve as the ex officio secretariat for the NSC; (iv) oversee/undertake the financial, operational, and database management; (v) resource

mobilization; (v) communication and knowledge management; (vi) support scaling up efforts, policy dialogue and advocacy; and (vii) global reporting to the CPMT or UCP Global Coordinator, UNOPS, responding to audits, and other tasks as stipulated in their ToR. The NC is also responsible for all country programme expenditures. The NC is expected to have full-time dedication to the SGP²⁷ and avoid all possible conflicts of interest.

33. Selection and Contract: The SGP Global Manager or the UCP Global Coordinator approves the recruitment of the NC, and the UNDP CO typically administer the selection and contract of the personnel on behalf of UNOPS (in case of SGP global), under the UNDP CO's human resources rules for Service Contracts. Other relevant UNDP and UNOPS contractual modalities are used in exceptional cases. In some cases, the NC contract administration can be covered under the terms of the contract with the NHI. In this case, the NHI's human resources management rules apply to the NC. Regardless of the arrangement, the selection of the NC is done through a publicly advertised and competitive selection process. The selection panel submits three of the top applicants to the CPMT Regional Focal Point for review and final approval by the SGP Global Manager. In case of UCPs, the UCP Global Coordinator reviews and makes the final approval. The recruitment process and related guidelines are described in more detail in the UNOPS Standard Operating Procedures (SOPs).

34. Reporting and performance assessment: The NC reports ultimately to the SGP Global Manager, with the day-to-day guidance and supervision provided by the CPMT Regional Focal Point. In the case of UCPs, the NC reports to the UCP Global Coordinator. The NC also works closely with the UNDP RR (or his/her designee) at the country level as their secondary supervisor. The performance of NCs is evaluated annually. The evaluation is undertaken through a SGP Performance and Results Assessment (PRA) in three parts: (i) a self-assessment by the NC; (ii) performance assessment inputs from the NSC and UNDP RR; and (iii) an overall review and assessment by the CPMT or UCP Global Coordinator, along with UNOPS inputs. For NCs under the Global Programme, the final annual performance is assessed by the CPMT. For the NCs that are administered by the NHI (for those who do not hold a UNDP/UNOPS contract), the NC is accountable to the head of the NHI. The NHI as an institution reports to the CPMT or UCP Global Coordinator on their performance as part of the annual reporting of the NHI.

35. Representation: The NC often represents the SGP in local, national, and global meetings, workshops, and other events in the country, and may be accompanied by members of the NSC. However, for legal and financial purposes, only the UNDP RR or his/her Officer in Charge (OIC) may represent the SGP in-country. Where the UNDP hosts the SGP country programme, only the UNDP RR or his/her Officer in Charge (OIC) can sign the SGP grant Memoranda of Agreement (MOAs) on behalf of UNOPS, and other co-financing arrangements. The NC does not have the

²⁷ The NC should not accept any other functions unless a cost-sharing arrangement can be negotiated with the UNDP CO or NHI and agreed by CPMT

authority to officially sign legal and financial agreements. The NC may however sign non-binding collaborative agreements between SGP and other projects and programmes. Under NHI hosting arrangements, the signature of the MOA may be assigned by the director of the NGO as the Implementing Partner/Responsible Party selected by the UNDP or UNOPS. The NC should consult the CPMT or the UCP Global Coordinator, and UNOPS where relevant, if there is any doubt on the rules and procedures with respect to signing legal documents and associated procedures.

b) Programme Assistant and other support personnel

- 36.** As part of the SGP country programme team, a Programme Assistant (PA) will be recruited based on set of criteria agreed by the CPMT, including overall size of the SGP Country Programme portfolio, and specific country programme needs. Under the standard ToR, the PA provides support and responsible for the financial, operational, and database management for the SGP country programme, and reports to the NC.
- 37.** The process of hiring the PA will follow the same overall procedure and modality as the NC noted above. The NC shall be involved in the selection process, and the panel recommendation will be forwarded to the CPMT Regional Focal Point or UCP Global Coordinator for approval. The NC is responsible for the supervision and performance assessment of the PA.
- 38.** In certain cases, a part-time PA and/or consultant with the required background may be recruited for a limited period to contribute and provide required assistance for the management of the Country Programme. These arrangements are discussed and agreed with the CPMT through the annual work planning and country operational budget excise. More details on the recruitment process and related guidelines are provided in the UNOPS SGP SOPs.

III. Sub-Regional Programme

- 39. On an exceptional basis, when deemed appropriate, SGP could also have a Sub-regional Programme,** and have a Sub-Regional Coordinator and Programme Assistant that covers multiple countries. The decision to have a Sub-regional Programme, instead of country programmes, will be determined by the CPMT in consultation with the regional stakeholders. The Sub-Regional Coordinator may manage the programme, while projects are reviewed and approved by a voluntary National Focal Group (NFG) with part-time facilitation by a National Focal Person (NFP) at the country level. The composition and function of the NFG follows the same as the National Steering Committee noted below. Some countries, with substantial grant making, may decide to shift to a Country Programme modality with a full time NC.

IV. National Steering Committee

- 40. The National Steering Committee (NSC) serves as the main decision-making body of the SGP at**

the country level, and provides overall oversight, guidance and direction to the Country Programme.

Roles and Responsibilities:

41. The NSC is a central governance element of the SGP and provides the primary substantive contribution and oversight to the programme, in coordination with the NC. The NSC member's roles include to (refer to the standard TOR for the NSC for further details):

- Provide overall guidance and strategic direction of the Country Programme, including the development, periodic revision, and implementation of the SGP Country Programme Strategy (CPS);
- Link the SGP operations to the relevant global, regional, and national policies and strategies of the GEF and other third-party co-financing;
- Support resource mobilization efforts for the SGP, at all levels;
- Support scaling up efforts to mainstream SGP lessons learned and successes in national development planning and policy-making;
- Participate in project monitoring and evaluation;
- Ensure participatory, democratic, impartial, and transparent procedures for project review, selection, and approval, as well as all other aspects of programme implementation at the country level in accordance with the SGP Project Document for the relevant Operational Phase;

42. No SGP project may be undertaken at the country level without the approval of the NSC.

Operationally, the decisions of the NSC are considered final provided they are consistent with the SGP Operational Guidelines, the SGP Project Document for the GEF Operational Phase and the Country Programme Strategy (or UCP Project Document). As such, the NSC must do its best to ensure the technical and substantive quality of SGP grants, and the administrative and financial capacity, either actual or potential, of the CSO grant recipients. The UNDP RR, or his/her delegate, as well as other members of the NSC, are encouraged to provide any relevant information about these concerns, especially the financial and organizational integrity of CSOs. However, neither the NSC nor its individual members as programme volunteers, hold any legal or fiduciary responsibility for the SGP or its activities.

43. The objectivity, transparency and credibility of the NSC is of paramount importance to the success of the SGP Country Programme, and to maintaining good relations among stakeholders. As a general rule, Country Programmes cannot consider proposals associated with organizations of sitting NSC members. A CSO may nonetheless submit proposals when the associated NSC member finished the term of service and is no longer on the Committee. On an exceptional basis, based on approval by the SGP Global Manager or the UCP Global Coordinator, CSOs with members in the NSC can submit proposals.

44. In accordance with the UN rules on ethical conduct, all members of the NSC must declare any

conflict of interests, actual or potential, with respect to concepts or proposals submitted for consideration. All NSC members must sign a Declaration of Conflict of Interest (COI) statement at the time of their appointment, as well as for each sitting of the NSC which reviews and approves projects. A conflict of interest may involve a range of circumstances including *inter alia*: (i) the presence of relatives or family members connected with the proposal; (ii) a financial or personal interest in the applicant organization; (iii) political, reputational and/or other ethical considerations. For more details, please refer to the UNOPS SOPs.

Composition

- 45. A majority of NSC members should be from the non-governmental sector.** The NSC is composed of voluntary members from the CSO sector (including NGOs, academic and scientific institutions, indigenous peoples, women groups, and others); UNDP Country Office (RR and/or the designated SGP focal point in the country office); and the GEF Operational Focal Point (or his/her designee), and others including private sector, donor institutions, experts, and limited number of additional government members as appropriate.
- 46. The UNDP RR and GEF OFP are considered to be institutional members. All other NSC members are invited to join in their personal capacity.** To the maximum extent possible the NSC membership should reflect expertise on relevant GEF focal areas of biodiversity; climate change mitigation; international waters; sustainable land management; sustainable forest management; chemicals and wastes, and other thematic areas that the country programme is focused on. One of the NSC member should be designated as the focal point to provide expertise on gender issues. It is also recommended to designate a youth and indigenous peoples focal point in the NSC.
- 47.** In general, only one government representative (GEF Operational Focal Point or Political Focal Point) is required as an institutional member. Depending on the circumstances, additional government representatives such as the Ministry of finance, Convention Focal Point(s), and/or other relevant members may be considered. Governmental members should hold positions relevant to the work of the SGP and at a level where they could contribute to strategic and technical discussions, particularly when assessing and approving proposals.
- 48.** Based on the experience of multiple SGP Operational Phases, it is recommended that the NSC is composed of about 7 to 12 members. However, variance from this could be accepted as membership could vary by country context. Membership should be large enough to include a majority of civil society members, as well as members from the government and UNDP CO.
- 49. The NSC may also constitute a Technical Advisory Group (TAG) with a pool of voluntary experts on call to serve as a technical sub-committee to review proposals and in relation to specific areas of programming and partnership development.** The TAG can also be tasked by the NSC to provide specific technical guidance in specialized areas of work. In addition, the TAG may also be formed in response to donor and co-financing requirements mobilized for the SGP country programme.

The composition of the TAG should also reflect the multi-sectorial approach of the SGP incorporating a mix of experts drawn from civil society and the government.

Selection and Appointment

- 50.** For new country programmes, the selection of NSC members is led by the UNDP CO with support from the NC, in close consultation with the CPMT and a wide circle of stakeholders. The composition and appointment of a newly established NSC is subject to review by the CPMT RFP and final approval by the SGP Global Manager, while subsequent appointments and updates can be approved by the responsible CPMT RFP. For UCPs, approval is provided by the UCP Global Coordinator. The UNDP RR provides the appointment letters on behalf of the SGP.
- 51. For an existing NSC, the selection and rotation of new NSC members will be facilitated by the UNDP RR or his/her designated delegate, with support from the standing NSC and NC, in consultation with a wide and representatives group of stakeholders at the national level.**
- 52. Nomination and selection of non-governmental NSC members should be undertaken in a transparent manner through as wide a consultation as possible with country stakeholders.** Unless an exception is granted by the CPMT based on the country context, **an open call for nomination of NSC member** (i.e. email among CSO networks and partners, communication through the print media, radio and other relevant channels) along with clear selection criteria and the due process for selection will be undertaken. The existing NSC reviews the nominations and provides a recommended composition to the UNDP RR, considering both the expertise and qualifications of the individual candidates, and the overall composition and balance of the committee. The UNDP RR, in consultation with the NC, will review and agree upon the recommended list of new NSC members, which is then submitted to the CPMT or UCP Global Coordinator for final approval, and inclusion in the SGP database.
- 53.** The NSC non-governmental members must have high credibility and wide experience working with CSOs, CBOs, and indigenous peoples in the country and can thus represent the needs and interests of the constituency in committee discussions. Strong, experienced, and technically competent civil society representation on the NSC is crucial as a means of keeping the SGP responsive to its mandate to work with CSOs, CBOs and indigenous peoples. These members must also have the requisite knowledge of GEF Focal Areas and/or specific themes such as gender, sustainable livelihoods, monitoring and evaluation and knowledge management.
- 54.** The NC, after due consultation with other NSC members of good standing, including the UNDP RR, may recommend changes of the NSC member if it becomes clear that a particular member's participation is not contributing to the programme. An NSC member who does not participate in three consecutive meetings, without citing a valid reason, may be considered for rotation or renewal. The final decision is endorsed by the SGP Global Manager or the UCP Global Coordinator, and a letter to the outgoing member should be signed by the UNDP RR.

Term of Service

55. NSC members serve for a period of three years, with a possibility of one-time renewal. Serving more than two terms in a consecutive manner is not allowed, unless approved by the SGP Global Manager or UCP Global Manager on an exceptional basis. It is recommended that at least one term gap (3 years) is provided before the individual may come back as a NSC member, even in a new capacity. Inviting new members is a sound and healthy policy that brings new ideas and expertise to programme implementation. Rotation of the members should be planned on a regular basis, and roughly one quarter (2-3 members) of the NSC may rotate in any given year in order to avoid drastic change in members at any one time.

56. Participation in the NSC is voluntary, without monetary compensation. Travel expenses for project site visits or to NSC meetings can be covered by the SGP country operational budget (COB) as relevant and should be reflected as part of the annual work plan and COB planning exercise.

Decision Making

57. NSCs adopt decisions under the principle of consensus and rarely resort to voting to determine whether a project is approved, or whether a particular course of action is to be taken. NSC members on the whole must be able and willing to discuss constructively and develop consensus decisions. In order to make consensual decisions, it is recommended that participation of the majority of NSC members, including a balanced representation of non-governmental and government members, is secured.

58. To facilitate the meetings, the NSC may decide to select its Chairperson(s) by having: (i) one of the most committed members to Chair for a particular period of time, but strongly recommended for no more than one term or 3 consecutive years; or (ii) members to Chair meetings on a rotating basis to enhance each member's participation. In case the Chair is selected from the government, a co-chair approach between the government and non-government representation is highly recommended to promote civil society leadership and CSO-government collaboration which are institutional objectives of the programme.

59. The NC serves in an ex-officio capacity on the NSC, participating in deliberations, but not in decisions regarding project selection. The NC usually convenes the NSC and functions as its Secretariat, including inter alia in (i) answering technical questions from the NSC members on a range of topics relating to the functioning of the SGP as a global programme; (ii) providing clarifications on the pipeline of project concepts and proposals received, including planning grants provided; as well as (iii) with respect to the existing cohort of approved SGP projects under implementation. With the help of the PA, if applicable, the NC prepares the summary of the main NSC decisions and discussion to be shared with UNOPS and uploaded to the SGP database. A copy of the NSC summary of key decisions, presented in the standard SGP template, including list of appraised project concepts and decisions, must be reviewed and signed by all the members present.

V. Country Programme Strategy

- 60. Each SGP participating country must prepare a Country Programme Strategy or Sub-regional Programme Strategy for the operational phase** (abbreviated as the CPS) that is approved by the CPMT. The development/revision of the CPS is designed to ensure strategic grantmaking and other activities at the country level, in congruence with the SGP Project Document and strategic initiatives for the concerned Operational Phase; alignment with strategic planning frameworks associated with the relevant Conventions and national policies, plans and strategies; environment and social safeguards, risk management, as well as coordination with the GEF, other major partnerships and programs where relevant. For new SGP Country Programmes, the development of a CPS is one of the first tasks to be undertaken by the NC and newly-formed NSC.
- 61.** The CPS shall be updated in every Operational Phase of the SGP, or as deemed necessary by the NSC, to align country programme priorities with those included in the relevant SGP Project Document in line with the priorities of the GEF, third party co-financing, and other national policies, programmes and plans. Based on wide stakeholder consultations, a draft of the CPS will be prepared and initially cleared by the NSC and submitted to the CPMT Regional Focal Point for review by him/her together with other relevant CPMT colleagues. Reflecting on the comments received from the CPMT, the CPS will be revised by the NC, reviewed and endorsed by the NSC, before being finally approved by the CPMT.
- 62.** The CPS will contain among others: (i) background and baseline situation of the country; (ii) priority geographic and thematic focus; (iii) programme framework; (iv) results framework; (v) social and environmental standards and risks; (vi) projected finance; and others. A specific guidance for the development/updating of the CPS, including a standard template, will be prepared by the CPMT and shared with the Country Programmes at the start of each Operational Phase. The development/revision of the CPS should be undertaken as a participatory process that engages the full range of non-governmental and government stakeholders in the country, and to fully engage and involve the NSC.
- 63.** For UCPs, a standard UNDP Project Document is produced that reflects the Country Programme's strategy that is broadly coherent with the overall SGP strategic initiatives endorsed by the GEF Council during each Operational Phase. To ensure strong country ownership, and in line with the stakeholder engagement requirements outlined by UNDP and the GEF²⁸, the development of the Project Document will be done in full consultation and close engagement with government, CSOs and other relevant stakeholders and in an inclusive and gender-responsive manner and applying the agreed social and environmental standards and screening procedures. The UCP Global Coordinator clears the Project Document and submits it to the GEF for CEO Endorsement and to

²⁸ UNDP's [Social and Environmental Standards](#) (SES), the [SES Guidance Note of Stakeholder Engagement](#), the GEF's [Guidelines on the Implementation of the Policy on Stakeholder Engagement and the GEF Policy on Gender Equality](#).

UNDP for approval following standard procedures.

VI. Annual Work Plan & Country Operation Budget

- 64.** The Country Operation Budget or Sub-regional Operation Budget (abbreviated here to COB) is the financial provision for country or sub-regional programme implementation, including costs for the country team salary, office premise, travel, equipment, etc. The Annual Work Plan (AWP) and COB is prepared annually by the NC in consultation with the NSC. Both the AWP and COB are essential in supporting the timely and cost-effective implementation and achievements of the CPS. Both the COB and AWP are reviewed and cleared by the UNOPS-CPMT Regional Team and DGM, with final approval by the SGP Global Manager. In countries where an NHI hosts the SGP, the COB is generally covered by the terms of the contract for services between the organization and UNOPS. The COB process and related guidelines are highlighted in detail in the SOPs.
- 65.** UNOPS, as the executing partner/responsible party, manages the budget in direct contact with the SGP Country Programme team and in collaboration with the UNDP CO and CPMT. The SGP Country Programme team, with support from UNOPS, is responsible for the use of the COB and implementation of the AWP within the approved amount and timeline.
- 66.** For the UCPs, the budget for operations is approved as part of the Project Document and is subject to revision on an annual basis along with approval of Annual Work Plans and requests for annual Authorized Spending Limits. In UCPs, any proposed budget revision should be developed by the NC, in close consultation with the UNDP CO, and UNOPS where relevant, and shared with the UCP Global Coordinator for final review and approval.

I. SGP Regular Grants

67. Each SGP Country Programme prepares and issues a call for proposals on a regular basis in line with the approved SGP Country Programme Strategy (CPS) or Project Document (in the case of UCPs). Information in the call for proposals should clearly state that the SGP makes grants to eligible CSOs (or to individuals in exceptional cases as in the case of fellowships), on specific thematic and geographic focuses with a maximum grant amount of US\$50,000 for regular grants. While regular call for proposals is a preferred modality and good practice, based on established practice over successive SGP Operational Phases, project concepts and proposals may also be received on a rolling basis by SGP country teams to be reviewed for eligibility in line with the CPS for the Operational Phase, or UCP Project Document, with feedback provided to proponents.
68. The process for developing an SGP grant project concept and project document should take place in a transparent manner covering the: (i) project preparation guidelines setting forth the eligibility criteria; (ii) application/proposal review process and calendar; (iii) templates for project concept and proposal development, and; (iv) co-financing requirements in cash and/or in-kind.
69. SGP provides grants in a strategic manner to support activities that help achieve the programme objectives outlined in the CPS and project document for the Operational Phase. In terms of helping achieve global environmental benefits, each project proposal should align with the SGP's Strategic Initiatives and articulate how the project objectives and activities would have a positive effect in the relevant GEF focal areas. Each project should also determine measurable contribution to one or more of the GEF results indicators and targets on global environment benefits. To create sustainability and impact beyond the project, SGP projects can combine demonstration, capacity-building, network building, awareness raising, and dissemination of lessons learned as integral components. Given this comprehensive approach, a simple results framework and monitoring work plan are required for each proposal.
70. As a demand-driven programme, SGP projects endeavor to address both the GEF criteria, as well as community needs and initiatives. The SGP usually works with communities and localities that confront a multitude of social and economic development problems that impact on concerns related to global environment. For SGP interventions to have relevance and utility at the community level, these socio-economic issues are considered in the project design. **A key guiding philosophy of the programme has been to promote social inclusion and reach the marginalized poor and vulnerable communities**, especially when other support is limited, and where development baseline conditions have not been met. Typically, the SGP will need to mobilize additional resources to help provide the cofinancing, technical assistance, capacity-building, gender and socio-economic activities, or whatever non-GEF element may be necessary for a project's success. These project components are vital to achieving local acceptance, ownership,

and sustainability of SGP interventions.

71. Project concepts from eligible CSOs may be screened by the NC, TAG, or jointly with the NSC.

The NSC should determine which screening modality it will follow, and periodically review this decision to make sure that the modality chosen is working well. In all cases, project concept selection should be done on the basis of established eligibility and selection criteria in accordance with the CPS or UCP Project Document. The NSC should be informed on the long list of all project concepts that has been submitted and screened. At the minimum, project concepts should identify concrete results that are relevant to one or more of the GEF focal areas and reflect the needs of the community or communities and/or stakeholders that would be involved. Once the concepts have been selected, the proponent organizations will be notified of this decision and asked to develop complete project proposals.

II. Planning Grants

72. Once the project idea or concept is received, while it is an important part of the NC's responsibilities to assist CSOs in proposal development, additional assistance is often required. In such cases, two options may be considered: (i) SGP planning grant modality may be used; or 2) a local consultant may be hired or a capable "assisting NGO" may be contacted to help the CSO/CBO/communities, according to terms of reference that the NC elaborates in coordination with the proponent organization.

73. Planning grants of up to \$5,000 can be approved once project concepts have been selected. CBOs, indigenous peoples' organizations and communities with little experience in project design and management receive priority to benefit from this assistance. Hence, the planning grant has an important capacity-building function which in itself is an important SGP objective.

74. A planning grant can be used by an eligible CSO to: (i) organize stakeholder workshops or meetings to design the project in a participatory manner; (ii) provide technical assistance to elaborate the project concept into project document, undertake studies or develop strategies; (iii) undertake baseline assessments, (iv) develop a business plan; (v) translate concepts from local languages into one of the main UN languages required by the SGP; and (v) support proposal design including the development of indicators and a monitoring and evaluation plan.

75. Administratively, a planning grant is a grant like any other SGP grant, and therefore can only be made to eligible CSOs/CBOs through a Memorandum of Agreement (MOA). Planning grants cannot be awarded to an individual. The project document for the planning grant specifies the activities to be undertaken, and the responsibilities of the parties concerned. The NSC generally approves the planning grant, although the NSC can in certain instances also delegate approval to the NC for certain cases (e.g. time-sensitive activities, smaller amounts). Refer guideline and detail in the SOPs.

III. Strategic Grant

- 76.** In special cases, grants may be provided for SGP Strategic Projects up to a maximum grant amount of \$150,000 that will: (i) enable scaling up and replication of tested approaches and tools in multiple locations/communities; and (ii) consolidate efforts of several communities and CSOs. For Strategic Projects, the SGP Country Programme should select project through competitive process, and share summary of the Strategic Project concept with the concerned CPMT RFP or UCP Global Coordinator for review and approval. It is recommended that each SGP Country Programme carefully review the use of Strategic Grant with the NSC in relation to the regular grant modality and consider using this modality to enable scaling up impact.

IV. Regional and Global Grant

- 77.** In support of regional or global scaling up, mainstreaming, replication, and broader adoption of SGP successes and lessons learned, as well as to leverage resources and utilize strategic opportunities at these levels, SGP grants for regional or global initiatives can be provided up to a maximum grant amount of \$150,000, which is signed between UNOPS (as the SGP executing agency/responsible party) and the CSO grantee. Regional and global grants could also facilitate and promote transboundary initiatives. Guidance for proactive or responsive modalities as well as procedures for the use of regional and global grants are developed by the SGP CPMT for specific thematic and technical portfolios, in consultation with the concerned SGP Country Programmes and/or relevant stakeholders and partners by following a transparent and competitive grantmaking process.

V. Grant Agreement and Funds disbursement

- 78.** SGP grants generally only cover a portion of project costs, with other components provided by the CSO partner, the community itself, or by other donors. Since SGP grants fund activities that are directly relevant to the GEF criteria, co-financing must be sought for the community baseline or sustainable development needs. However, since it would be unrealistic to require a baseline/incremental cost exercise for each individual project, each country should instead endeavor to mobilize enough funding in cash or in kind to at least “match (1 to 1 ratio)” the GEF grant allocation to the country.
- 79.** Once the NSC has approved a project for SGP funding support, the Memorandum of Agreement (MOA) is signed between the grantee and the UNDP RR on behalf of UNOPS based on a delegation of authority. In case of UCPs that are executed by a NGO, the MOA may also be signed between the grantee and the NGO. SGP projects normally have a duration of between one and two years. The amounts and schedules may differ, contingent upon the nature and length of project activities. Typically, SGP grants follow three installments: first disbursement of 30% to 50% of the

total project grant amount at the time of grant agreement, followed by 40% to 60% at the midterm after the submission of progress report (in one or two tranches); and a final 10% installment after the submission of final report. Approval is sought from UNOPS and CPMT for exceptional case that divert from the regular installment pattern.

- 80.** A grantee may submit another proposal upon successful completion of an initial project, but no grantee can receive funds exceeding US\$50,000 in a given Operational Phase, unless it is a strategic grant up to \$150,000, or exceptional approval is sought from and provided by the SGP Global Manager or the UCP Global Coordinator. Any grantee which has received the maximum \$50,000 in one Operational Phase, may however submit another funding request in the following Operational Phase after successful completion of the first project.
- 81.** The MOA and grant disbursement process, the applicable templates, and all related guidelines are found in detail in the UNOPS SGP SOPs.

PART V. MONITORING & EVALUATION AND REPORTING

- 82.** SGP's results management, monitoring and evaluation approach is multi-tiered and dedicated M&E procedures are in place at the global, country and project levels as per the SGP Monitoring and Evaluation Strategy in line with the relevant GEF and UNDP monitoring policies.
- 83.** SGP applies the UNDP's Social and Environmental Standards (SES) and accompanying Social and Environmental Screening Procedures (SESP). SGP applies the UNDP's SESP to the design and development of its Project Document and SGP Country Programme Strategies. Related compliance mechanism and accountability frameworks are also to be referred. For ad-hoc issues that may arise in SGP grantmaking and other activities, the NC and NSC are tasked to manage the appropriate conflict resolution measures in consultation with UNDP CO, CPMT or UCP Global Coordinator, and UNOPS.

I. Project level

- 84.** SGP focuses on participatory M&E with grantee ownership. The SGP country team typically organizes a workshop at the inception of a grant distribution cycle to convene the cohort of grantees with the objective to: (i) build common understanding and capacities to undertake quality M&E activities; (ii) create early synergies between grantees for deeper impact, including broader adoption; (iii) enable a forum of learning from both success and failures. A CSO with required capacity or third-party monitoring entity may be engaged by the SGP country team for these purposes. Subject to budget availability, a workshop may also be convened for a cohort of grantees at project conclusion. Knowledge fair and joint workshops/activities could be convened with partners to be cost effective and support linkages between a cluster of SGP projects.
- 85.** Each SGP project is encouraged to invest limited amount of total grant amount (4-5%) on project level M&E and knowledge management activities. These are directed towards collection of quality data and evidence for project results, in particular mandatory indicators from the roster of project indicators for a given Operational Phase. The funds may also be utilized towards the timely and quality submission of project progress reports to SGP and UNOPS which in turn serve as a requirement for financial disbursements of the grant tranches.
- 86.** At the project level, a measurement system exists to harmonize reporting across the SGP portfolio. Each of the SGP projects picks from a roster of project indicators, including both global environmental and socio-economic indicators, and report results as guided by the SGP M&E guidelines, and the Project Framework for a given Operational Phase. At project commitment, as part of the MOA preparation, the grantee with support from NC, selects from the roster of indicators and commits to tracking them as part of planned project monitoring and reporting. At project conclusion, these indicators are reported in the SGP project mid-term and final progress reports. The grantee has the flexibility to select any additional indicators beyond the SGP roster

as appropriate.

II. Country Level

- 87.** At country level, SGP country programme teams, as well as the NSC, undertake monitoring of grant portfolio on an ongoing basis. Each project is visited at least once during the life cycle of project. Guided by the COB guidelines for a given Operational Phase, additional missions to the project site can be made by the SGP Country Programme team and/or NSC members when there are particular needs and is cost effective. In general, monitoring missions should be limited to one or two persons, including the SGP NC and a NSC member unless there are special reasons, and as approved by the UNDP CO, CPMT and/or UNOPS as part of the annual COB and AWP planning exercise.
- 88.** Close and regular collaboration are undertaken between NC and NSCs on M&E activities at the country level. Periodic reviews and monitoring of the Country Programme Strategy implementation is undertaken during the operational phase. This enables (i) verifiable and structured adjustments to the CPS to take place, including any course correction in terms of ongoing projects and advice on the selection of new projects; (ii) noting early results for broader adoption and partnership development; and (iii) identification of risks. It is recommended that the SGP Country Programme team together with the NSC to prepare a brief SGP Country Programme Report, with information on key results and grantmaking on an annual basis and/or every operational phase.
- 89.** In coordination with UNOPS, SGP country programme team are responsible for the financial monitoring of grants, disbursements, COB expenditures, and co-financing. Audits of SGP Country Programmes will be conducted in a regular manner accordance with the UNDP and UNOPS auditing standards, and applicable financial rules and regulations. Audit is also organized when risk is identified. The SGP audit exercise is focused on transparency, accountability and quality of SGP country operations in line with the SGP Operational Guidelines and SOPs. The audits will cover country level management, financial, and administrative issues and includes provisions for project-level inspection. Country teams are required to comply with the Audit checklist for a given Operational Phase, and detailed processes are available in the UNOPS SGP SOPs. Should an audit be undertaken, SGP country programmes are obligated to follow up on the recommendations of audits.
- 90.** The SGP country programme team is responsible for regularly keeping project and country-level information updated in the SGP Global Database for all prior and current Operational Phases. This includes tracking all country programme level grant maker plus elements in the SGP database. Compliance with requirements and timelines in the SGP Database Guidance is required.
- 91.** SGP country program team is expected to regularly communicate and report on the SGP country

results and progress with the UNDP CO, GEF Operation Focal Point and other stakeholders. The NC keeps the UNDP CO informed of progress in programme implementation, usually through the RR and SGP focal point in the UNDP CO. For a given Operational Phase, the CPS and its results framework reflects a synergy with UNDP Country Programme Document (CPD), which in turn is linked to UNDP Strategic Plan. Specific guidance is provided in SGP M&E guidelines for a given Operational Phase. In general, each CPS notes at least one CPD outcome/ output area to be synergized with selected on the basis of: (i) maximum potential for broader adoption; (ii) two-way sharing of evidential lessons and experiences; and (iii) potential for joint-reporting on national development mechanisms and UN 2030 Sustainable Development Goals (SDGs).

III. Global Level

- 92.** At the global level, in compliance with the GEF Policy on Monitoring, a consolidated Annual Monitoring Report (AMR) is submitted to the GEF secretariat, including (i) the status of the Programme; (ii) results across applicable core Indicators; (iii) project financing approved, committed, and disbursed by operational phase, with a breakdown between grants to civil society and community-based organizations and other costs, as well as GEF and additional funds; and (iv) any other information as required by the relevant GEF policies. All SGP countries, including UCPs, comply with quality and timely submission of country level inputs as part of SGP AMR process.
- 93.** At the global level, the CPMT facilitates learning across the portfolio of participating countries to support the use of M&E data for decision making at different levels. Recurring global reporting requirements, such as AMR, are complemented by periodic requests by the CPMT, UCP Global Coordinator and/or UNOPS for information on specific subjects and thematic issues, such as reports under preparation for the GEF Council, or for the relevant global environmental conventions. Refer further detail and guidance on project and programme reporting in the SGP Monitoring & Evaluation Strategy.
- 94.** In accordance with the GEF Monitoring Policy and UNDP Evaluation Policy, SGP will have an independent evaluation for each operational phase. CPMT liaises with the GEF and UNDP Independent Evaluation Offices (IEOs) for the evaluation, including country programme visits and reviews.

IV. Upgraded Country Programme

- 95.** For UCPs, the NC is required to oversee the implementation of the M&E Plan presented at the CEO Endorsement stage and submit annual Project Implementation Reports (PIRs). A Mid-Term Review (MTR) is completed midway through the project to identify challenges and outline corrective actions, and a Terminal Evaluation (TE) will take place upon completion of all major project outputs and activities. UCPs are also expected to comply with the SGP Global Database completion requirements and submit contributions to the SGP AMR.

PART VI. COMMUNICATION AND BRANDING

- 96.** All communication and knowledge materials developed by SGP must adhere to the SGP's Visual Guidelines. This includes materials produced as part of the SGP project grants and any materials developed by SGP country teams.
- 97.** The GEF, SGP, and UNDP logos will appear together on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF and other donors will also accord proper acknowledgement to the donors.
- 98.** For SGP projects that are funded by other partners and donors, their logo maybe added based on agreement with them to recognize their contribution.
- 99.** All SGP programme and project information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy and the related GEF Policies.

(ii) **Annex 2: Monitoring Plan:**

This Monitoring Plan²⁹ and the M&E Plan and Budget in Section VI of this project document will both guide monitoring and evaluation at the project level for the duration of project implementation. **Please note targets noted in this table reflect the entirety of operational phase.**

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Risks/ Assumptions
Project objective from the results framework	Indicator 1	240,000 (male) 240,000 (female)	Number of direct project beneficiaries disaggregated by gender (individual people)	Annual Monitoring Report	Annually	Project, Country level (with portfolio wide data aggregation at Global level)	All countries are incorporating social inclusion areas as part of CPS design and implementation
	Indicator 2	700,000	Number of indirect project beneficiaries disaggregated by gender (individual people)				
Project Outcome 1 - Community-based models and biodiversity friendly practices and approaches promoted for conservation and sustainable use of threatened ecosystems and species in important terrestrial and coastal/ marine ecosystems	Indicator 3	2,700,000 ha	Area of landscapes under improved management to benefit biodiversity (hectares) (GEF core indicator 4.1)	AMR Grantee Monitoring Report Impact reviews SGP database	Annually Annually	Project, Country level (with portfolio wide data aggregation at Global level)	Mobilized multi-stakeholder support for the landscape/seascape approach (including the government, local CSOs/CBOs, NSCs) Technical support provided, along with capacities, to facilitate the landscape/ seascape approach
	Indicator 5	120,000 ha	Area of marine habitat under improved practices to benefit biodiversity (hectares; excluding protected areas) (GEF core indicator 5)		Annually		
Project Outcome 2 - Climate-smart integrated	Indicator 6	350,000 ha	Area of landscapes under sustainable land management in	AMR	Annually	Project, Country level (with	

²⁹ Per advice from the GEF Secretariat, the results and targets under this project has been adjusted to fit the scope of the project. The reporting on the results will follow the Policy on Monitoring (GEF/C.56/03/Rev.01, June 12, 2019) by operational phase.

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Risks/ Assumptions
practices improve productivity, food security, and livelihoods of smallholder farmers and supports achievement of national LDN targets.			production systems (hectares) (GEF core indicator 4.3)	Grantee Monitoring Report		portfolio wide data aggregation at Global level)	Landscapes address a production system Collaboration with full-sized projects to support vertical linkages for sustainable agriculture and fisheries, and food security
	Indicator 7	200,000 ha	Area of degraded agricultural lands restored (hectares) (GEF core indicator 3.1)	Impact reviews	Annually		
	Indicator 8	50 countries	Number of SGP countries supporting linkages and partnerships for sustainable food production practices (such as diversification and sustainable intensification) and supply chain management	SGP database	Annually		
Project Outcome 3 - Low carbon, viable and appropriate technologies and approaches demonstrated and deployed across sectors. Initiatives scaled up that improve community energy access and build a low carbon infrastructure, in line with larger national frameworks such as SDGs and NDCs.	Indicator 9	350KW	Increase in installed renewable energy capacity from local technologies (e.g. on types of renewable energy technology biomass, small hydro, solar).	AMR	Annually	Project, Country level (with portfolio wide data aggregation at Global level)	Communities and CSOs have innovative and implementation capacity
	Indicator 10	60 local energy access solutions	Number of typologies of community-oriented, locally adapted energy access solutions with successful demonstrations or scaling up and replication	Grantee Monitoring Report	Annually		
	Indicator 11	18,000 ha	Hectares of forests and non-forest lands with restoration and enhancement of carbon stocks initiated.	Impact reviews SGP database	Annually		
Project Outcome 4 - Innovative community-based tools and approaches demonstrated, deployed and transferred. Organize	Indicator 12	300 tons	Quantity of POPs/Mercury containing materials and products directly avoided (GEF core indicator 9.6)	AMR, SGP database	Annually	Project, Country level (with portfolio wide data aggregation at Global level)	Issue buy-in existing at communities and CSO level in a given context
	Indicator 13	2 coalitions	Number of local to global coalitions and networks established and/or	Grantee Monitoring Report	Annually Annually		

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Risks/ Assumptions
and strengthen multi-stakeholder coalitions with support from sound chemicals and waste management platforms.			strengthened (e.g. IPEN and Zero Mercury Working Group)	Impact reviews			
	Indicator 14	50 countries	Number of SGP countries working on increasing awareness and outreach for sound chemicals, waste and mercury management.	SGP database	Annually		
Project Outcome 5 - Appropriate integrated community-oriented sustainable urban solutions in partnership with government and private sector. These may often be first time innovations and are administered with a socially inclusive lens.	Indicator 15	25 countries	Number of SGP countries with improved capacities to promote community-driven integrated solutions for low-emission and resilient urban development.	AMR, SGP database	Annually	Project, Country level (with portfolio wide data aggregation at Global level)	Synergize efforts with Global Platform for Sustainable Cities (GPSC) Identified pockets of geographic areas or thematic issues to focus on (in the absence of landscape/ seascape approach here)
	Indicator 16	25 urban solutions	Number of community-based urban solutions/ approaches (including chemical and waste management, energy, transport, watershed protection, ecosystem services and biodiversity) deployed.	Annual Country Monitoring Report	Annually		
Project Outcome 6 - CSO-Government-Private Sector Policy and Planning Dialogue Platforms promote community voices and participation in global, national and sub-national policy/strategy development on global environment and sustainable development issues.	Indicator 17	50 national/ sub-national CSO-government-private sector dialogues	Number of CSO-government-private sector dialogues convened to support community voice and representation in national/ sub-national policy development.	AMR	Annually	Project, Country level (with portfolio wide data aggregation at Global level)	Government responds to consultative processes Dialogues/ Exchanges undertaken in mature SGP country programmes/ countries with advanced community results
	Indicator 18	2 reps. from social inclusion groups per dialogue platform	Number of representatives from social inclusion group (indigenous people, women, youth, persons with disability, farmers, other marginalized groups) supported with meaningful participation in dialogue platforms.	Annual Country Monitoring Report	Annually		
				Country impact reviews	Annually		

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Risks/ Assumptions
Project Outcome 7 - South-South Exchange promoted to broker knowledge, build capacities and facilitate partnerships between communities, CSOs and other partners across countries on global environmental issues.	Indicator 19	20 countries	Number of countries undertaking South- South exchanges between communities, CSOs and other partners across countries.		Annually	Project, Country level (with portfolio wide data aggregation at Global level)	
	Indicator 20	15 south-south exchanges	Number of south- south exchanges at global and regional levels to transfer knowledge, replicate technology, tools and approaches on global environmental issues.		Annually		
Project Outcome 8 - Social inclusion, particularly empowerment of women, indigenous peoples, youth and people with disabilities, is mainstreamed and enhanced in SGP programming on environment and livelihood improvement	Indicator 21 a	30% of SGP portfolio	Number of SGP projects led by women 21	AMR	Annually	Project, Country level (with portfolio wide data aggregation at Global level)	Social and Environmental Standards are incorporated at country and project levels. Country programme level management, in particular National Steering Committees, reflect a socially inclusive model. Marginalized groups such as the youth and the disabled people are aware of and interested in working with SGP
	Indicator 21 b	20% SGP portfolio	Number of projects contributing to closing gender gaps related to access to and control over natural resources	Annual Country Monitoring Report	Annually		
	Indicator 21 c	30% SGP portfolio	Number of projects that improve the participation and decision-making of women in natural resource governance	SGP database			
	Indicator 21 d	70% SGP portfolio	Number of projects that target socio-economic benefits and services for women		Annually		
	Indicator 22	20% of SGP country programmes	Number of SGP countries that have targeted support for Indigenous Peoples in terms of country level programming and management.		Annually		
	Indicator 23	15% of SGP country programmes	Number of SGP countries that demonstrate appropriate models of engaging youth and/or persons with disability.		Annually		
Project Outcome 9 - A common, robust M&E	Indicator 24	All SGP countries	Number of SGP country teams administering results management	AMR	Annually	Project, Country level (with	Adequate availability of

Monitoring	Indicators	Targets	Description of indicators and targets	Data source/Collection Methods	Frequency	Responsible for data collection	Risks/ Assumptions
strategy is developed and implemented in all countries at all levels (project, country and global)- establishing transparency, coherence and evidence-based decision making.			modalities in programme design, implementation and overall decision making using participatory mechanisms.	Annual Country Monitoring Report		portfolio wide data aggregation at Global level)	resources. M&E capacities built across global, country and project levels. Mechanisms of quality assurance and methodologically-sound thought production in place.
	Indicator 25	6 impact reviews	Number of country/cross-country impact reviews undertaken that generate evidence of SGP impact and lessons learnt.	SGP database	Annually		
Project Outcome 10 - Networking and knowledge sharing leverage local actions for global change to safeguard global environment	Indicator 26	All SGP countries	Number of SGP countries using citizen-based knowledge platform (digital library of community innovations) to document and curate community-based solutions to environment issues.	SGP intranet AMR	Annually	Project, Country level (with portfolio wide data aggregation at Global level)	Access to internet connectivity is available. Communities and CSOs have capacity to curate their knowledge.

(iii) Annex 3: UNDP Risk Log

Description	Date Identified	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner	Status
1. The challenges of working directly with community-based and non-governmental organizations that have a low level of technical and management capacity is a continuing risk.	Pre- project	Operational, Organizational	I = 2 P = 3	SGP continues to track project progress and implementation schedules through a number of activities, such as site visits, feedback loop with grantees and review of progress reports. Among the strategies that SGP will continue to employ to mitigate risks at the grant level: ensure capacity development of all grantees through use of stakeholder workshops, provide guidance materials, link grantee partners to learn from experienced grantees, and work with supporting NGOs and partners. Risks of underperformance will be mitigated by consistent and comprehensive oversight and monitoring of the SGP portfolio in each country by CPMT and the UNDP CO. On the financial and admin side, UNOPS as implementing partner provide a risk advisory and management system.	CPMT, UNOPS	Ongoing
2. The gradually changing geographic presence of SGP may lead to risks, where in each operational phase the most mature countries meeting the criteria for upgrading are upgraded as FSPs, while in the past operational phases a significant number of LDCs and SIDS, as well as countries in post conflict situations, have been added.	Pre- project	Financial Operational Organizational	I = 3 P = 2	<p>The potential risks of working in newer countries, those with post conflict situations, capacity challenges, etc. is being addressed in the upcoming operational phase through the greater flexibility in Grantmaker+ assistance and innovation programmes to complement and ensure the success of grant projects. By actively promoting CSO-government dialogue platforms, providing dedicated support, enabling south-south exchanges, robust results management strategy rollout and knowledge platforms, SGP will be better able to build the capacity of CSOs and promote community action in many of the newer countries that have joined SGP.</p> <p>SGP will keep tracking potential risk scenarios in countries that are affected by security or other political and economic challenges as part of its annual monitoring process. Trouble shooting missions will also be undertaken when needed by CPMT and UNOPS.</p>	CPMT UNOPS	Ongoing
3. As a grantmaking programme, SGP has to be prepared to confront potential risks of misuse or misappropriation of funds, especially where there is low administrative/financial management capacity or there is risk of corruption.	Pre- project	Organizational Operational	I = 3 P = 1	SGP addresses this risk in a variety of ways. First at the programming level, SGP's project proposal template, grant review and screening procedures are designed to ensure that CSOs or CBOs proposing grants have relevant experience, strong ownership and backing from communities who will be involved, and a good track record. SGP ensures oversight by its country level staff and active involvement of NSC members who provide support and a due diligence mechanism. Site visits to projects are required per the Operational Guidelines. The size of the average SGP grant is also small, at approximately \$25,000, and funding is provided in tranches to mitigate risks of misuse. Grantees are required to submit progress reports and financial reports for release of subsequent tranches. Any concerns regarding use of funds may	CPMT, UNOPS, SGP Country Teams	Ongoing

				result in early termination of a grant project. UNOPS as the Implementing Partner oversees the operational risks, and has a risk mitigation framework for SGP that entails control layers at different transactional levels. Further, audits are conducted to ensure financial credibility of the country programmes.		
4. A reduced level of funding for grant making may reduce the impact and effectiveness of SGP country programmes. SGP countries now have lowered ceilings for access to STAR funds.	Pre- project	Financial	I = 3 P = 1	SGP programmes will improve efficiency and impact through: (a) flexible allocation of grant funding, (b) clustering and focusing of grant portfolios in selected landscape and seascape areas to increase impact and reduce costs; (c) enhance SGP's role to build and sustain local capacities; and (d) increase resource mobilization and partnerships, including the use of SGP as a delivery mechanism for other donor funded projects.	CPMT, SGP Country Teams	Ongoing
5. The project may potentially reproduce discriminations against women based on gender	Pre-project	Social	I = 3 P = 2	Gender issues will be considered throughout the design and implementation of activities per the gender mainstreaming guidance that were issued. In addition, gender checklists will be used by NSCs for project approval. Project will prioritize work with women's groups, particularly poorer and more vulnerable women, as well as girls' groups; team will formulate strategy to engage women/girl's groups as primary actors in landscape and resource management and micro and small enterprise development. All GEF SGP proposals are reviewed and approved by a National Steering Committee comprised of experts in different fields, including a gender focal point. The CPMT will issue and continue to provide updated guidance on gender mainstreaming, including reviewing all national Country Programme Strategies (CPS) for gender integration, such that, all SGP grant making operations pay adequate attention to gender issues.	CPMT and SGP country Teams	
6. Increased climate variability, more severe droughts, changes in rainfall distribution, altered frequency of extreme meteorological events, rising temperatures in coastal waters may affect agroecology, beekeeping, sustainable tourism, forestry and fisheries, and community-based conservation initiatives and undermine efforts to arrest biodiversity loss and land degradation. Extreme weather events, such as hurricanes and typhoons, may adversely affect coastal communities and communities in SIDS	Pre- project	Environmental	I = 4 P = 2	The risk of climate change is one of several reasons that the project has chosen to emphasize landscape-level management and coordination in productive landscapes. The project will promote a variety of adaptive biodiversity and land resource planning and management actions in forests, pastures and other agroecosystems, thereby ensuring that climate change considerations are integrated into the SGP grant making operations and, in the design, and implementation of SGP grant activities. Moreover, the SGP project through the community-based measures supported will enhance capacities of ecosystems and communities to adapt to adverse impacts of climate change in particular by improving connectivity and enhancing the protective and provisioning functions of the natural environment. The project will also build on SGP's experience with the Community Based Adaptation (CBA) project which has piloted and tested approaches to enable communities to adapt to climate impacts and to build resilience and enhance food security. These lessons will be assessed and more broadly adopted within SGP programming during the OP7. Furthermore, SGP is putting in place	CPMT and SGP country Teams	On-going

				climate risk assessment process for the project implemented in the SIDS and other vulnerable areas		
7. Project activities within or adjacent to critical habitats and/or environmentally sensitive areas	Pre- project	Environmental	I = 1 P = 1	<p>A small number of projects taking place within or adjacent to critical habitats or sensitive areas will be designed and implemented based on successful experience and lessons learned from previous SGP phases.</p> <p>All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the SGP Country programme team, as well as NSC members who often accompany monitoring visits. Expert NGOs may be contracted to provide an additional layer of technical assistance and support.</p>	SGP Country Teams	Ongoing
8. Utilization of genetic resources (e.g. collection and/or harvesting, commercial development) exceeds sustainable harvesting thresholds	Pre- project	Environmental	I = 3 P = 1	<p>The SGP expressly finances projects to conserve and use biodiversity sustainably. As part of project preparation, consistency of activities with biodiversity standards will be ensured. The SGP National Steering Committees possess high level biodiversity conservation expertise in their membership; the NSCs review all proposals for eligibility. Proposals are approved for funding if found eligible. In some cases, planning grants are approved where a project proposal has merit but needs to be further studied in order to clarify and elaborate its approach. SGP is standardizing review criteria in OP7, in order to ensure quality assurance and to screen any potential specific biodiversity-related risks at individual project level.</p>	SGP Country Teams	Ongoing
9. Harvesting of natural forests, plantation development, or reforestation	Pre- project	Environmental	I = 3 P = 1	<p>A small number of sustainable forest management projects will be financed based on successful experience and lessons learned from previous SGP phases.</p> <p>All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the Country programme team, as well as NSC members who often accompany monitoring visits. Expert NGOs may be contracted to provide an additional layer of technical assistance and support.</p>	SGP Country Teams	Ongoing
10. Production and/or harvesting of fish populations or other aquatic species?	Pre- project	Environmental	I = 2 P = 1	<p>A small number of sustainable forest management projects will be financed based on successful experience and lessons learned from previous SGP phases.</p>	SGP Country Teams	Ongoing

				All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the Country programme team, as well as NSC members who often accompany monitoring visits. Expert NGOs may be contracted to provide an additional layer of technical assistance and support.		
11. Significant extraction, diversion or containment of surface or ground water	Pre- project	Environmental	I = 2 P = 1	All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the Country programme team, as well as NSC members who often accompany monitoring visits. Expert NGOs may be contracted to provide an additional layer of technical assistance and support.	SGP Country Teams	Ongoing
12. IPs may not be sufficiently consulted on or involved in activities that impact their lands, territories and/or culture	Pre-project	Social	I=4 P=1	<p>In depth consultations with IPs will be carried out as they develop their proposals and prepare their projects. All project concepts and proposals are subject to review and approval by the National Steering Committee (NSC), including the NSC IPs focal point, and expert members of the Technical Advisory Group (TAG), where relevant. Potential social impacts of projects are assessed by the National Coordinator and the NSC as part of proposal development, and actions to mitigate risk are incorporated into each proposal prior to approval.</p> <p>The SGP will organize training and other targeted programs to enhance the capacity of vulnerable groups including IPs to take an active part in the planning and decision-making process at the local level in natural resource management and be able to access SGP support. In addition, a comprehensive guidance note for SGP Country Programmes will be prepared on how to apply the SESP at the country level during the Country Programme Strategy (CPS) implementation, small grant project design and formulation, and community level monitoring during implementation.</p>	SGP Country teams, CPMT	On-going

(iv) Annex 4 – SESP

Project Information	
1. Project Title	7 th Operational Phase of the GEF Small Grants Programme
2. Project Number	PIMS 6271, 6495, 6509; ATLAS Award ID 121215
3. Location (Global/Region/Country)	Global

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The GEF Small Grants Programme, which covers 110 countries and potentially additional several countries worldwide during its 7th Operational Phase (2020-2028), provides up to USD 50,000 in funding and technical assistance to civil society and community organizations for design and implementation of projects. Grant projects are developed by CSOs and CBOs themselves in a demand driven manner, and responding to their own objectives, while being consistent with the overall SGP Country Programme Strategy elaborated in each country through a multi-stakeholder consultative process for OP7. Under the SGP Country Programme Strategy, SGP grant-making will be further focused within selected priority landscape/seascape conservation areas, in order to meet strategic objectives identified in a participatory manner with CSOs and communities in these areas. Sustainable use of environment and natural resources is a key principle, along with efforts to ensure social sustainability of approaches that are piloted and applied by communities.

Within the SGP Central Programme Management Team (CPMT) that coordinates the global SGP programme, providing the overall management of the SGP, including strategic, thematic, and operational guidance and support to the country programmes, specific thematic Advisors specializing in key focal areas, such as biodiversity, climate change, sustainable land and forest management, international waters and chemicals and importantly with expertise and wide demonstrated experience in applying the human-rights based approach provide guidance to SGP country teams. Moreover, the decentralized country governance structure of the National Steering Committees in SGP countries mirror such expertise, including dedicated focal points for key human rights issues to ensure that country level grant making activities consider and fully apply the human rights-based approach. Beyond that, prior to and during the implementation of grant projects, CSOs and CBOs receive training on project implementation, monitoring and adaptive management methods and tools. In line with SGP's operational guidelines and its OP7 project document, grant funding and technical support are preferentially provided to poor and marginalized groups in the landscapes it works in. One of the criteria for selection of landscapes/seascapes, in addition to their environmental characteristics and potential for multiple benefits, will include the presence of poor and vulnerable communities. These communities will be involved in the design of landscape strategies and management plans and will design and choose the projects they wish to implement as part of these strategies. These communities will also participate in landscape governance initiatives aimed at empowering them to take collective action in regulating resource use with the aim of achieving social and ecological resilience. The SGP operational guidelines clearly lay out the SGP principles about community and civil society ownership, country driven-ness, and transparency. SGP grievance mechanisms are available both locally at country level as well as at the global level directly through CPMT and the GEF.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

Gender will be considered throughout the design and implementation of activities within SGP's 7th operational phase. Building on its past experience in promoting gender mainstreaming and gender empowerment, SGP will prioritize work with women's groups, particularly those involving poorer and more vulnerable women. In OP7, SGP aims to have 30% of its project portfolio to be led by women and women groups. The SGP Central Programme Management Team (CPMT) will continue to issue gender mainstreaming guidance, and gender checklists which will be used by National Steering Committees at project approval stage. CPMT will also monitor gender mainstreaming by country programmes on an annual basis as part of its Annual Monitoring Report (AMR) preparation. SGP Country Programme teams during the elaboration of their Country Programme Strategies (CPS), will formulate a specific strategy to mainstream gender approaches, and engage women as primary actors in landscape and resource management and micro and small enterprise development. Each SGP Country programme will annually review gender mainstreaming within its projects as part of the annual review exercise.

In OP7 SGP will focus grantmaking within more defined landscape and seascape areas. As part of the landscape/seascape selection and strategy formulation process, consultations with community groups and NGOs will take place in ways that ensure women's comfortable participation, depending on their preference for mixed or separate groups, and specific to the context and issues of women within these landscapes. SGP requires each National Steering Committee (NSC) to have a designated Gender focal point responsible for screening selected grant projects in terms of their gender considerations and to ensure women's participation during implementation. During OP7 the role of the Gender focal point will be further enhanced, and targeted training will be developed to train and orient NSC members, grantees and SGP staff on gender issues. Women led and Gender-sensitive NGOs will also be engaged where required to support involvement of women/girls groups in defining grant project objectives and designing grant project activities.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The premise of the GEF Small Grants Programme is that communities will adopt environmentally sustainable practices if they do not imply additional risks to their current production and livelihood systems. The SGP finances community organizations to design and implement sustainable development projects that produce global environmental benefits while also supporting local development and sustainable livelihoods. Given inherent links between environmental sustainability and livelihood and lives for rural areas where SGP's grant programming predominantly operate, and the demand-driven approach by which SGP grant activities are sourced, reviewed and funded, the SGP programme integrates environmental sustainability naturally and easily into its programme and operations.

The SGP project is designed support community-based initiatives led by the civil society organizations and local initiatives dealing with the environment and development issues of global relevance. In doing so, the SGP is will enable "communities as solution providers and key partners to address the drivers of global environmental degradation and engine for systemic change" by promoting and supporting innovative and strategic initiatives at the local level to address global environment issues in priority landscapes and seascapes. In addition, the SGP grantees and partners will also act as an effective and important social constituency to mobilize bottom up, civil society movements for systemic change, and in promoting environmentally sound sustainable development at the national, regional, and global levels. While specific project measures and activities will be determined at the time of country grant making, the SGP will support and demonstrate sustainable practices to integrated environmental and natural resource management in key strategic initiatives including, community-based biodiversity conservation, sustainable agriculture and fisheries management, promotion of low carbon energy technologies, community-based sound chemicals management and promotion of community-oriented sustainable urban solutions. In doing so, the SGP will strengthen environmental management capacities in all the countries while build local model for sustainable environmental management that may be used to scale up the approach and lessons learned in other areas of the country. Besides, the SGP project contributes to and supports the achievement of the priorities of the Rio Conventions and other international environmental agreements at the national and local levels.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? ³⁰	QUESTION 3: What is the level of significance of the potential social and environmental risks?			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i>
Risk 1: Project may potentially reproduce discriminations against women based on gender	I = 2 P = 1	Low	Note: SGP places strong emphasis on gender mainstreaming in its operations and programming. Gender issues will be considered throughout the design and implementation of activities per the gender mainstreaming guidance that were issued. In addition, gender checklists will be used by NSCs for project approval.	Project will prioritize work with women's groups, particularly poorer and more vulnerable women, as well as girls' groups; team will formulate strategy to engage women/girl's groups as primary actors in landscape and resource management and micro and small enterprise development. All GEF SGP proposals are reviewed and approved by a National Steering Committee comprised of experts in different fields, including a gender focal point. The CPMT will issue and continue to provide updated guidance on gender mainstreaming, including reviewing all national Country Programme Strategies (CPS) for gender integration, such that, all SGP grant making operations pay adequate attention to gender issues.
Risk 2: Project activities within or adjacent to critical habitats and/or environmentally sensitive areas	I = 1 P = 1	Low	Note: the scale of each projects under the GEF Small Grants Programme is small with the average funding around USD 22,000. A small number of projects taking place within or adjacent to critical habitats or sensitive areas will be designed and implemented based on successful experience and	All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the SGP Country programme team, as well as NSC members who often accompany monitoring visits. In addition, the CPMT consists of thematic advisors including an experienced Biodiversity Conservation Specialist with extensive years of experience in biodiversity conservation,

³⁰ SGP by its design provides small grant funding directly to communities to undertake priority actions for environment and sustainable development. As such the potential for environmental or social risks is low. However, each Country Programme Strategy will include identification of risks, including potential social and environmental risks as well as identification of possible mitigation measures.

			lessons learned from previous SGP phases.	working with Indigenous Communities and on Indigenous and Community Conservation issues, thereby providing an additional layer of technical oversight and support.
Risk 3: Harvesting of natural forests, plantation development, or reforestation	I = 2 P = 1	Low	Note: the scale of GEF Small Grants projects is small with the average funding around USD 22,000. A small number of sustainable forest management projects will be financed based on successful experience and lessons learned from previous SGP phases.	All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the Country programme team, as well as NSC members who often accompany monitoring visits. In addition, expert NGOs may be contracted to provide an additional layer of technical assistance and support. Where SGP activities involve sustainable harvest of natural products, the SGP will employ best practices in participatory management approaches and will set out clear standards for sustainable harvesting regimes.
Risk 4: Production and/or harvesting of fish populations or other aquatic species?	I = 1 P = 2	Low	Note: the scale of GEF Small Grants projects is small with the average funding around USD 22,000. A small number of aquaculture projects will be financed based on successful experience and lessons learned from previous SGP phases.	All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the Country programme team, as well as NSC members who often accompany monitoring visits. Expert NGOs may be contracted to provide an additional layer of technical assistance and support.
Risk 5: Significant extraction, diversion or containment of surface or ground water	I = 1 P = 1	Low	Note: the scale of GEF Small Grants projects is small with the average funding around USD 22,000. A small number of land and water management projects will be designed and implemented based on successful experience and lessons learned from previous SGP phases.	All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the Country programme team, as well as NSC members who often accompany monitoring visits. Expert NGOs may be contracted to provide an additional layer of technical assistance and support.
Risk 6: Utilization of genetic resources (e.g. collection and/or harvesting, commercial development)	I = 1 P = 2	Low	Note: the scale of GEF Small Grants projects is small with the average funding around USD 22,000. A small number of plant genetic resources projects will be designed and implemented based on successful experience	All GEF SGP proposals are reviewed and approved by a National Steering Committee (NSC) comprised of experts in different fields, including biodiversity conservation, ecosystem service, sustainable resource management, and others. Project implementation is monitored by the Country programme team, as well as NSC members who often accompany monitoring visits. Expert NGOs may be

			and lessons learned from previous SGP phases.	contracted to provide an additional layer of technical assistance and support. In doing so, sustainable utilization protocols for collection and harvesting together with ensuring equitable sharing of benefits will be promoted.
Risk 7: IPs may not be sufficiently consulted on or involved in activities that impact their lands, territories and/or culture	I = 4 P = 1	Moderate	<p>Moderate risk due to potential effects on IP rights, lands, territories and traditional livelihoods</p> <p>No proposals are accepted or approved without thorough review by the NC and NSC of consultations and participation of proponent organizations and communities.</p>	<p>In depth consultations with IPs will be carried out as they develop their proposals and prepare their projects. All project concepts and proposals are subject to review and approval by the National Steering Committee (NSC), including the NSC IPs focal point, and expert members of the Technical Advisory Group (TAG), where relevant. Potential social impacts of projects are assessed by the National Coordinator and the NSC as part of proposal development, and actions to mitigate risk are incorporated into each proposal prior to approval.</p> <p>The SGP will organize training and other targeted programs to enhance the capacity of vulnerable groups including IPs to take an active part in the planning and decision-making process at the local level in natural resource management and be able to access SGP support. In addition, a comprehensive guidance note for SGP Country Programmes will be prepared on how to apply the SESP at the country level during the Country Programme Strategy (CPS) implementation, small grant project design and formulation, and community level monitoring during implementation.</p>
Risk 8: Increased climate variability, more severe droughts, changes in rainfall distribution, altered frequency of extreme meteorological events, rising temperatures in coastal waters may affect agroecology, beekeeping, sustainable tourism, forestry and fisheries, and community-based conservation initiatives and undermine efforts to arrest biodiversity loss and land degradation. Extreme weather events, such as hurricanes and typhoons, may adversely affect coastal communities and communities in SIDS	I = 4 P = 2	Moderate	<p>Moderate risk is due to potential adverse effects of extreme weather events.</p> <p>However the project activities are focusing on building communities' resilience to extreme weather events as well as climate variability.</p>	<p>The risk of climate change is one of several reasons that the project has chosen to emphasize landscape-level management and coordination in productive landscapes. The project will promote a variety of adaptive biodiversity and land resource planning and management actions in forests, pastures and other agroecosystems, thereby ensuring that climate change considerations are integrated into the SGP grant making operations and, in the design, and implementation of SGP grant activities. Moreover, the SGP project through the community-based measures supported will enhance capacities of ecosystems and communities' to adapt to adverse impacts of climate change in particular by improving connectivity and enhancing the protective and provisioning functions of the natural environment.</p>

				<p>The project will also build on SGP's experience with the Community Based Adaptation (CBA) project which has piloted and tested approaches to enable communities to adapt to climate impacts and to build resilience and enhance food security. These lessons will be assessed and more broadly adopted within SGP programming during the OP7. Furthermore, SGP is putting in place climate risk assessment process for the project implemented in the SIDS and other vulnerable areas.</p>
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see <u>SESP</u> for guidance)			Comments
	<i>Low Risk</i>			
	<i>Moderate Risk</i>	X	<p>The project builds on almost 30 years of SGP experience and the established programming, governance and operational mechanisms of the SGP Country Programmes. UNDP sits on the National Steering Committee of the Country Programmes which reviews and approves country programme strategies, project eligibility criteria and proposals for approval. Other NSC members include government representatives, academic institutions, and civil society organizations, including representatives of ethnic minorities, women and other rural actors.</p>	
	<i>High Risk</i>			
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
	Check all that apply			Comments
	<i>Principle 1: Human Rights</i>	X	<p>During the CPS development process, SGP will conduct an initial screening process with the principal stakeholders who will have access to all the necessary information to determine the focus area of intervention and actor-mapping prior to project design in the respective country.</p>	
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	X	<p>A gender mainstreaming strategy for the SGP has been issued. The CPMT will ensure that this is updated, SGP staff is trained to apply it and monitor integration of gender issues into SGP grant making and operations. The SGP always placed a strong focus on gender mainstreaming which it will employ</p>	

			fully to ensure participation and strengthening of women and youth groups.
	1. Biodiversity Conservation and Natural Resource Management	X	The SGP expressly finances projects to conserve and use biodiversity sustainably. As part of CPS formulation process and during the SGP grant making process, consistency of activities with biodiversity standards will be ensured. The SGP National Steering Committees possess high level biodiversity conservation expertise in their membership; the NSCs review all proposals for eligibility. Proposals are approved for funding if found eligible. In some cases, planning grants are approved where a project proposal has merit but needs to be further studied in order to clarify and elaborate its approach. SGP will employ the standardized review criteria introduced in OP6 to ensure quality assurance and to screen any potential specific biodiversity-related risks at individual project level. Besides the CPMT has relevant thematic expertise and experience that is available to SGP country teams for additional layer for quality assurance and guidance.
	2. Climate Change Mitigation and Adaptation	X	The SGP project promotes adaptive biodiversity and landscape-level resource planning/management to counter potential effects of climate change. The SGP National Steering Committees possess high level climate change expertise in their membership; the NSCs review all proposals for eligibility. Proposals are approved for funding if found eligible. In some cases, planning grants are approved where a project proposal has merit but needs to be further studied in order to clarify and elaborate its approach. SGP will employ the standardized review criteria introduced in OP6 to ensure quality assurance and to screen any potential specific climate –related risks at individual project level. Besides the CPMT has relevant thematic expertise and experience that is available to SGP country teams for additional layer for quality assurance and guidance.
	3. Community Health, Safety and Working Conditions	X	The growing COVID-19 crisis is an emerging threat, that will disproportionately hit developing countries and poor communities within developing countries, not only as a health crisis in the short term but as a devastating social and economic crisis over the months and years to come. In the short term, the SGP will respect all national guidance and international best practices so that SGP activities do not

			inadvertently contribute to spreading the virus. In the medium term, the SGP support while remaining fully aligned to the programming directions as set forth under the SGP Implementation Arrangements for GEF-7 and as per the Project Document for the OP7, where appropriate, will seek to join national and local initiatives to build back green and better. SGP will employ the standardized review criteria to screen any potential specific COVID –related risks at individual project level and as required will bring in additional expertise to guide national teams. The CPMT has also developed detailed guidance on assessing impact, responding to COVID related needs, alignment with recovery efforts and long-term prevention related measures.
	4. Cultural Heritage	X	The SGP may support initiatives which seek to render present tourist activities more sustainable and less harmful to fragile environments, including those of significance to cultural heritage. This may allow the development of eco-tourism activities in particular areas. However, all eco-tourism activities will have to demonstrate how they improve the status quo in terms of climate change adaption/mitigation, biodiversity protection and/or land degradation. SGP will employ the standardized review criteria introduced in OP6 to ensure quality assurance and to screen any potential specific culture heritage –related risks at individual project level. Besides the CPMT has relevant thematic expertise and experience that is available to SGP country teams for additional layer for quality assurance and guidance.
	5. Displacement and Resettlement		N/A
	6. Indigenous Peoples	X	SGP prioritizes work with indigenous peoples’ organizations, with the aim to empower and build capacity of such groups, and to help them to protect traditional knowledge especially regarding environmental and natural resource management issues. In OP7 SGP will continue to prioritize grants for indigenous peoples’ organizations as relevant within SGP Country Programme Strategies (CPS) and within selected landscape/seascape conservation areas. SGP will also support a small number of IP Fellowships at the global level to help build capacity of indigenous leaders and to support them in addressing their community’s social and environmental needs and objectives. As for grant making at the national level, SGP will employ the standardized review

			criteria introduced in OP6 to ensure quality assurance and to screen any potential specific IP –related risks at individual project level. Besides the CPMT has relevant thematic expertise and experience that is available to SGP country teams for additional layer for quality assurance and guidance.
	7. Pollution Prevention and Resource Efficiency	X	The SGP expressly finances projects that contribute to pollution prevention and resource efficiency. Project grantees sign a Memorandum of Agreement where they specifically show that they will not contravene any national or international laws, obligations or commitments. At the same time, SGP will ensure that communities fulfill these commitments through its own M&E system.

Final Sign Off

Signature	Date	Description
QA Assessor – Yoko Watanabe		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver – Stephen Gold		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ³¹	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	Yes
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No

³¹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	Yes
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ³² greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	yes
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No

³² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

5.3	Is there a risk that the Project would lead to forced evictions? ³³	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	Yes
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

³³ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

(v) Annex 5: GEF 7 Taxonomy

Level 1	Level 2	Level 3	Level 4
<input checked="" type="checkbox"/> Influencing models			
	<input checked="" type="checkbox"/> Transform policy and regulatory environments		
	<input checked="" type="checkbox"/> Strengthen institutional capacity and decision-making		
	<input checked="" type="checkbox"/> Convene multi-stakeholder alliances		
	<input checked="" type="checkbox"/> Demonstrate innovative approaches		
	<input type="checkbox"/> Deploy innovative financial instruments		
<input checked="" type="checkbox"/> Stakeholders			
	<input checked="" type="checkbox"/> Indigenous Peoples		
	<input checked="" type="checkbox"/> Private Sector		
		<input checked="" type="checkbox"/> Capital providers	
		<input checked="" type="checkbox"/> Financial intermediaries and market facilitators	
		<input type="checkbox"/> Large corporations	
		<input checked="" type="checkbox"/> SMEs	
		<input checked="" type="checkbox"/> Individuals/Entrepreneurs	
		<input type="checkbox"/> Non-Grant Pilot	
		<input type="checkbox"/> Project Reflow	
	<input checked="" type="checkbox"/> Beneficiaries		
	<input checked="" type="checkbox"/> Local Communities		
	<input checked="" type="checkbox"/> Civil Society		
		<input checked="" type="checkbox"/> Community Based Organization	
		<input checked="" type="checkbox"/> Non-Governmental Organization	
		<input checked="" type="checkbox"/> Academia	
		<input type="checkbox"/> Trade Unions and Workers Unions	
	<input checked="" type="checkbox"/> Type of Engagement		
		<input checked="" type="checkbox"/> Information Dissemination	
		<input checked="" type="checkbox"/> Partnership	
		<input checked="" type="checkbox"/> Consultation	
		<input checked="" type="checkbox"/> Participation	
	<input checked="" type="checkbox"/> Communications		
		<input checked="" type="checkbox"/> Awareness Raising	
		<input checked="" type="checkbox"/> Education	
		<input checked="" type="checkbox"/> Public Campaigns	
		<input checked="" type="checkbox"/> Behavior Change	
<input checked="" type="checkbox"/> Capacity, Knowledge and Research			
	<input type="checkbox"/> Enabling Activities		

	<input checked="" type="checkbox"/> Capacity Development		
	<input checked="" type="checkbox"/> Knowledge Generation and Exchange		
	<input checked="" type="checkbox"/> Targeted Research		
	<input checked="" type="checkbox"/> Learning		
		<input type="checkbox"/> Theory of Change	
		<input checked="" type="checkbox"/> Adaptive Management	
		<input checked="" type="checkbox"/> Indicators to Measure Change	
	<input checked="" type="checkbox"/> Innovation		
	<input checked="" type="checkbox"/> Knowledge and Learning		
		<input checked="" type="checkbox"/> Knowledge Management	
		<input checked="" type="checkbox"/> Innovation	
		<input checked="" type="checkbox"/> Capacity Development	
		<input checked="" type="checkbox"/> Learning	
	<input checked="" type="checkbox"/> Stakeholder Engagement Plan		
<input checked="" type="checkbox"/> Gender Equality			
	<input checked="" type="checkbox"/> Gender Mainstreaming		
		<input checked="" type="checkbox"/> Beneficiaries	
		<input checked="" type="checkbox"/> Women groups	
		<input checked="" type="checkbox"/> Sex-disaggregated indicators	
		<input checked="" type="checkbox"/> Gender-sensitive indicators	
	<input checked="" type="checkbox"/> Gender results areas		
		<input checked="" type="checkbox"/> Access and control over natural resources	
		<input checked="" type="checkbox"/> Participation and leadership	
		<input checked="" type="checkbox"/> Access to benefits and services	
		<input checked="" type="checkbox"/> Capacity development	
		<input checked="" type="checkbox"/> Awareness raising	
		<input checked="" type="checkbox"/> Knowledge generation	
<input checked="" type="checkbox"/> Focal Areas/Theme			
	<input checked="" type="checkbox"/> Integrated Programs		
		<input checked="" type="checkbox"/> Commodity Supply Chains (34 Good Growth Partnership)	
			<input type="checkbox"/> Sustainable Commodities Production
			<input type="checkbox"/> Deforestation-free Sourcing
			<input type="checkbox"/> Financial Screening Tools
			<input type="checkbox"/> High Conservation Value Forests
			<input type="checkbox"/> High Carbon Stocks Forests
			<input type="checkbox"/> Soybean Supply Chain

			<input type="checkbox"/> Oil Palm Supply Chain
			<input type="checkbox"/> Beef Supply Chain
			<input checked="" type="checkbox"/> Smallholder Farmers
			<input type="checkbox"/> Adaptive Management
		<input checked="" type="checkbox"/> Food Security in Sub-Saharan Africa	
			<input type="checkbox"/> Resilience (climate and shocks)
			<input type="checkbox"/> Sustainable Production Systems
			<input type="checkbox"/> Agroecosystems
			<input type="checkbox"/> Land and Soil Health
			<input type="checkbox"/> Diversified Farming
			<input type="checkbox"/> Integrated Land and Water Management
			<input checked="" type="checkbox"/> Smallholder Farming
			<input type="checkbox"/> Small and Medium Enterprises
			<input type="checkbox"/> Crop Genetic Diversity
			<input type="checkbox"/> Food Value Chains
			<input type="checkbox"/> Gender Dimensions
			<input type="checkbox"/> Multi-stakeholder Platforms
		<input checked="" type="checkbox"/> Food Systems, Land Use and Restoration	
			<input type="checkbox"/> Sustainable Food Systems
			<input type="checkbox"/> Landscape Restoration
			<input type="checkbox"/> Sustainable Commodity Production
			<input type="checkbox"/> Comprehensive Land Use Planning
			<input type="checkbox"/> Integrated Landscapes
			<input type="checkbox"/> Food Value Chains
			<input type="checkbox"/> Deforestation-free Sourcing
			<input checked="" type="checkbox"/> Smallholder Farmers
		<input checked="" type="checkbox"/> Sustainable Cities	
			<input type="checkbox"/> Integrated urban planning
			<input type="checkbox"/> Urban sustainability framework
			<input type="checkbox"/> Transport and Mobility
			<input type="checkbox"/> Buildings
			<input type="checkbox"/> Municipal waste management
			<input checked="" type="checkbox"/> Green space
			<input checked="" type="checkbox"/> Urban Biodiversity
			<input type="checkbox"/> Urban Food Systems
			<input checked="" type="checkbox"/> Energy efficiency
			<input type="checkbox"/> Municipal Financing
			<input type="checkbox"/> Global Platform for Sustainable Cities
			<input type="checkbox"/> Urban Resilience
	<input checked="" type="checkbox"/> Biodiversity		

		<input checked="" type="checkbox"/> Protected Areas and Landscapes	
			<input checked="" type="checkbox"/> Terrestrial Protected Areas
			<input type="checkbox"/> Coastal and Marine Protected Areas
			<input checked="" type="checkbox"/> Productive Landscapes
			<input checked="" type="checkbox"/> Productive Seascapes
			<input checked="" type="checkbox"/> Community Based Natural Resource Management
		<input checked="" type="checkbox"/> Mainstreaming	
			<input type="checkbox"/> Extractive Industries (oil, gas, mining)
			<input type="checkbox"/> Forestry (Including HCVF and REDD+)
			<input checked="" type="checkbox"/> Tourism
			<input checked="" type="checkbox"/> Agriculture & agrobiodiversity
			<input checked="" type="checkbox"/> Fisheries
			<input type="checkbox"/> Infrastructure
			<input type="checkbox"/> Certification (National Standards)
			<input type="checkbox"/> Certification (International Standards)
		<input checked="" type="checkbox"/> Species	
			<input type="checkbox"/> Illegal Wildlife Trade
			<input checked="" type="checkbox"/> Threatened Species
			<input checked="" type="checkbox"/> Wildlife for Sustainable Development
			<input checked="" type="checkbox"/> Crop Wild Relatives
			<input checked="" type="checkbox"/> Plant Genetic Resources
			<input checked="" type="checkbox"/> Animal Genetic Resources
			<input type="checkbox"/> Livestock Wild Relatives
			<input type="checkbox"/> Invasive Alien Species (IAS)
		<input checked="" type="checkbox"/> Biomes	
			<input checked="" type="checkbox"/> Mangroves
			<input checked="" type="checkbox"/> Coral Reefs
			<input checked="" type="checkbox"/> Sea Grasses
			<input checked="" type="checkbox"/> Wetlands
			<input checked="" type="checkbox"/> Rivers
			<input checked="" type="checkbox"/> Lakes
			<input checked="" type="checkbox"/> Tropical Rain Forests
			<input checked="" type="checkbox"/> Tropical Dry Forests
			<input checked="" type="checkbox"/> Temperate Forests
			<input checked="" type="checkbox"/> Grasslands
			<input type="checkbox"/> Paramo
			<input checked="" type="checkbox"/> Desert
		<input type="checkbox"/> Financial and Accounting	
			<input type="checkbox"/> Payment for Ecosystem Services
			<input type="checkbox"/> Natural Capital Assessment and Accounting

			<input type="checkbox"/> Conservation Trust Funds
			<input type="checkbox"/> Conservation Finance
		<input type="checkbox"/> Supplementary Protocol to the CBD	
			<input type="checkbox"/> Biosafety
			<input type="checkbox"/> Access to Genetic Resources Benefit Sharing
	<input checked="" type="checkbox"/> Forests		
		<input type="checkbox"/> Forest and Landscape Restoration	
			<input type="checkbox"/> REDD/REDD+
		<input checked="" type="checkbox"/> Forest	
			<input type="checkbox"/> Amazon
			<input type="checkbox"/> Congo
			<input checked="" type="checkbox"/> Drylands
	<input checked="" type="checkbox"/> Land Degradation		
		<input checked="" type="checkbox"/> Sustainable Land Management	
			<input type="checkbox"/> Restoration and Rehabilitation of Degraded Lands
			<input type="checkbox"/> Ecosystem Approach
			<input type="checkbox"/> Integrated and Cross-sectoral approach
			<input checked="" type="checkbox"/> Community-Based NRM
			<input checked="" type="checkbox"/> Sustainable Livelihoods
			<input checked="" type="checkbox"/> Income Generating Activities
			<input checked="" type="checkbox"/> Sustainable Agriculture
			<input checked="" type="checkbox"/> Sustainable Pasture Management
			<input checked="" type="checkbox"/> Sustainable Forest/Woodland Management
			<input checked="" type="checkbox"/> Improved Soil and Water Management Techniques
			<input type="checkbox"/> Sustainable Fire Management
			<input type="checkbox"/> Drought Mitigation/Early Warning
		<input type="checkbox"/> Land Degradation Neutrality	
			<input type="checkbox"/> Land Productivity
			<input type="checkbox"/> Land Cover and Land cover change
			<input type="checkbox"/> Carbon stocks above or below ground
		<input checked="" type="checkbox"/> Food Security	
	<input checked="" type="checkbox"/> International Waters		
		<input type="checkbox"/> Ship	
		<input checked="" type="checkbox"/> Coastal	
		<input checked="" type="checkbox"/> Freshwater	
			<input type="checkbox"/> Aquifer
			<input checked="" type="checkbox"/> River Basin
			<input type="checkbox"/> Lake Basin

		<input checked="" type="checkbox"/> Learning	
		<input checked="" type="checkbox"/> Fisheries	
		<input checked="" type="checkbox"/> Persistent toxic substances	
		<input checked="" type="checkbox"/> SIDS: Small Island Dev States	
		<input type="checkbox"/> Targeted Research	
		<input checked="" type="checkbox"/> Pollution	
			<input type="checkbox"/> Persistent toxic substances
			<input checked="" type="checkbox"/> Plastics
			<input type="checkbox"/> Nutrient pollution from all sectors except wastewater
			<input type="checkbox"/> Nutrient pollution from Wastewater
		<input type="checkbox"/> Transboundary Diagnostic Analysis and Strategic Action Plan preparation	
		<input type="checkbox"/> Strategic Action Plan Implementation	
		<input type="checkbox"/> Areas Beyond National Jurisdiction	
		<input type="checkbox"/> Large Marine Ecosystems	
		<input checked="" type="checkbox"/> Private Sector	
		<input type="checkbox"/> Aquaculture	
		<input type="checkbox"/> Marine Protected Area	
		<input checked="" type="checkbox"/> Biomes	
			<input checked="" type="checkbox"/> Mangrove
			<input checked="" type="checkbox"/> Coral Reefs
			<input checked="" type="checkbox"/> Seagrasses
			<input type="checkbox"/> Polar Ecosystems
			<input type="checkbox"/> Constructed Wetlands
	<input checked="" type="checkbox"/> Chemicals and Waste		
		<input checked="" type="checkbox"/> Mercury	
		<input checked="" type="checkbox"/> Artisanal and Scale Gold Mining	
		<input type="checkbox"/> Coal Fired Power Plants	
		<input type="checkbox"/> Coal Fired Industrial Boilers	
		<input type="checkbox"/> Cement	
		<input type="checkbox"/> Non-Ferrous Metals Production	
		<input checked="" type="checkbox"/> Ozone	
		<input checked="" type="checkbox"/> Persistent Organic Pollutants	
		<input type="checkbox"/> Unintentional Persistent Organic Pollutants	
		<input checked="" type="checkbox"/> Sound Management of chemicals and Waste	
		<input checked="" type="checkbox"/> Waste Management	
			<input checked="" type="checkbox"/> Hazardous Waste Management
			<input checked="" type="checkbox"/> Industrial Waste
			<input checked="" type="checkbox"/> e-Waste
		<input type="checkbox"/> Emissions	
		<input type="checkbox"/> Disposal	

		<input type="checkbox"/> New Persistent Organic Pollutants	
		<input type="checkbox"/> Polychlorinated Biphenyls	
		<input type="checkbox"/> Plastics	
		<input type="checkbox"/> Eco-Efficiency	
		<input checked="" type="checkbox"/> Pesticides	
		<input type="checkbox"/> DDT - Vector Management	
		<input type="checkbox"/> DDT - Other	
		<input type="checkbox"/> Industrial Emissions	
		<input type="checkbox"/> Open Burning	
		<input checked="" type="checkbox"/> Best Available Technology / Best Environmental Practices	
		<input type="checkbox"/> Green Chemistry	
	<input checked="" type="checkbox"/> Climate Change		
		<input checked="" type="checkbox"/> Climate Change Adaptation	
			<input type="checkbox"/> Climate Finance
			<input type="checkbox"/> Least Developed Countries
			<input type="checkbox"/> Small Island Developing States
			<input type="checkbox"/> Disaster Risk Management
			<input type="checkbox"/> Sea-level rise
			<input checked="" type="checkbox"/> Climate Resilience
			<input type="checkbox"/> Climate information
			<input checked="" type="checkbox"/> Ecosystem-based Adaptation
			<input type="checkbox"/> Adaptation Tech Transfer
			<input type="checkbox"/> National Adaptation Programme of Action
			<input type="checkbox"/> National Adaptation Plan
			<input type="checkbox"/> Mainstreaming Adaptation
			<input type="checkbox"/> Private Sector
			<input type="checkbox"/> Innovation
			<input type="checkbox"/> Complementarity
			<input type="checkbox"/> Community-based Adaptation
			<input type="checkbox"/> Livelihoods
		<input checked="" type="checkbox"/> Climate Change Mitigation	
			<input checked="" type="checkbox"/> Agriculture, Forestry, and other Land Use
			<input checked="" type="checkbox"/> Energy Efficiency
			<input checked="" type="checkbox"/> Sustainable Urban Systems and Transport
			<input type="checkbox"/> Technology Transfer
			<input checked="" type="checkbox"/> Renewable Energy
			<input type="checkbox"/> Financing
			<input type="checkbox"/> Enabling Activities
		<input type="checkbox"/> Technology Transfer	
			<input type="checkbox"/> Poznan Strategic Programme on Technology Transfer
			<input type="checkbox"/> Climate Technology Centre & Network (CTCN)
			<input type="checkbox"/> Endogenous technology

			<input type="checkbox"/> Technology Needs Assessment
			<input type="checkbox"/> Adaptation Tech Transfer
		<input checked="" type="checkbox"/> United Nations Framework on Climate Change	
			<input checked="" type="checkbox"/> Nationally Determined Contribution
		<input type="checkbox"/> Climate Finance (Rio Markers)	<input type="checkbox"/> Paris Agreement <input type="checkbox"/> Sustainable Development Goals <input type="checkbox"/> Climate Change Mitigation 1 <input type="checkbox"/> Climate Change Mitigation 2 <input type="checkbox"/> Climate Change Adaptation 1 <input type="checkbox"/> Climate Change Adaptation 2